

FINANCIAL DISCLOSURE REPORT

FINAL FILING

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Ellington, Janice	2. Court or Organization Southern District of Texas	3. Date of Report 07/20/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2019 to 01/04/2020
	5b. ☒ Amended Report	
7. Chambers or Office Address 1133 N. Shoreline Blvd. Corpus Christi, TX 78401		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income



NONE (No reportable non-investment income.)

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)



NONE (No reportable non-investment income.)

DATE

SOURCE AND TYPE

1.

2.

3.

4.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE (No reportable reimbursements.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1.	Real property-four unimproved lots in Grant County Washington		None	J	W				
2.	Checking Accounts - American Bank, Corpus Christi, TX	A	Interest	N	T				
3.	Exxon Mobil	A	Dividend	K	T				
4.	IRA Raymond James (Biggins Wealth Management)(H)								
5.	-Raymond James Bank NA Cash account	A	Interest	J	T				
6.	-First Trust Low Duration Mortgage Opportunities ETF	A	Dividend	K	T	Sold (part)	09/26/19	J	A
7.	-Cohen & Steers Low Duration Perf & Inc. Fund Class 1	A	Dividend	K	T	Sold (part)	09/25/19	J	A
8.	-Doubleline Low Duration Bond Fund	A	Dividend	K	T	Sold (part)	09/25/19	J	A
9.	-Fidelity Advisor Limited Term Bond Fund Class 1	A	Dividend	K	T	Sold (part)	09/26/19	J	A
10.	-Lord Abbett Short Duration Income Fund	A	Dividend	K	T	Sold (part)	09/26/19	J	A
11.	-Metropolitan West Low Duration Bond Fund Class 1	A	Dividend	K	T	Sold (part)	09/25/19	J	A
12.	-Metropolitan West Unconstrained Bond Fund 1	A	Dividend	K	T	Sold (part)	09/25/19	J	A
13.	-Thornburg Ltd Term Income	A	Dividend	K	T	Sold (part)	09/26/19	J	A
14.	-Fidelity Conservative Income Bond Institutional Class	A	Dividend			Buy	01/18/19	K	
15.						Sold	02/06/19	K	A
16.	-JP Morgan Managed Income Fund Class	A	Dividend			Buy	01/18/19	K	
17.						Sold	02/06/19	K	A

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -Putnam Ultra Short Duration Income Fund Class Y	A	Dividend			Buy	01/18/19	K		
19.					Sold	02/06/19	K	A	
20. -Invesco Conservative Income Fund Class A	A	Dividend			Buy	01/22/19	K		
21.					Sold	02/07/19	K	A	
22. -Boston Partners Long/Short Research Fund	A	Dividend			Buy	02/06/19	J		
23.					Sold	04/24/19	J	A	
24. -Cohen & Steers Real Estate	A	Dividend	J	T	Buy	02/06/19	J		
25. -JPMorgan Med Cap Value	A	Dividend	J	T	Buy	02/06/19	J		
26. -Janus Henderson US Managed Volatility Fd	A	Dividend	J	T	Buy	02/06/19	J		
27. -JP Morgan Equity Income Fund Class 1	A	Dividend	K	T	Buy	02/06/19	K		
28.					Sold (part)	09/25/19	J	A	
29. -JP Morgan Hedged Equity Fund Class 1	A	Dividend	J	T	Buy	02/06/19	J		
30. -Cohen & Steers MLP and Energy Opportunity Fund Class 1	A	Dividend	J	T	Buy	02/06/19	J		
31. -Columbia Small Cap Index Fund	A	Dividend	J	T	Buy	02/06/19	J		
32. -JP Morgan Large Cap Growth Fund-	A	Dividend	J	T	Buy	02/06/19	J		
33.					Buy (add'l)	12/13/19	J		
34. -Invesco Balanced Risk Allocation Fund	A	Dividend			Buy	02/07/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35.					Sold	04/25/19	J	A	
36. -Hartford Midcap Fund	A	Dividend	J	T	Buy	02/07/19	J		
37. -MFS International Diversification Fund	A	Dividend	J	T	Buy	02/07/19	J		
38. -MFS Value Fund Class	A	Dividend	J	T	Buy	02/07/19	K		
39.					Sold (part)	09/26/19	J	A	
40. -Massachusetts Investors Growth Fund	A	Dividend	J	T	Buy	02/07/19	J		
41.					Sold (part)	04/25/19	J	A	
42. -Nuveen Santa Barbara Dividend Growth Fd	A	Dividend			Buy	02/07/19	J		
43.					Sold	08/15/19	J	A	
44. -First Eagle Overseas Fund	A	Dividend	J	T	Buy	02/07/19	J		
45. -James Alpha Global Real Estate Investments	A	Dividend	J	T	Buy	02/07/19	J		
46. -First Trust Value Line	A	Dividend	J	T	Buy	04/25/19	J		
47. -Hartford Core Equity Fund	A	Dividend	J	T	Buy	04/25/19	J		
48. -Columbia Dividend Income	A	Dividend	J	T	Buy	08/14/19	J		
49.									
50.									
51.									

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.									
53.									
54.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Janice Ellington**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544