

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) KING, CAROLYN D.	2. Court or Organization U.S. COURT OF APPEALS 5TH CIR.	3. Date of Report 12/29/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address U.S. COURTHOUSE, ROOM 11020 515 RUSK AVENUE HOUSTON, TX 77002-2694		
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. EMERITUS MEMBER OF COUNCIL	AMERICAN LAW INSTITUTE
2. MEMBER OF ADVISORY BOARD	THE CENTER FOR THOMISTIC STUDIES, UNIVERSITY OF SAINT THOMAS
3. MEMBER OF PRESIDENT'S BOARD OF ADVISORS	UNIVERSITY OF SAINT THOMAS
4. MEMBER BOARD OF TRUSTEES; EMERITUS MEMBER BOARD OF TRUSTEES, 5/31/19 -	BAYLOR COLLEGE OF MEDICINE
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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Name of Person Reporting

KING, CAROLYN D.

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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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	NORTON ROSE FULBRIGHT DEFINED BENEFIT PENSION	\$33,194.76
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	STATE OF TEXAS, JUDICIAL RETIREMENT
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.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
KING, CAROLYN D.	12/29/2020

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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Name of Person Reporting

KING, CAROLYN D.

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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) 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)
1. BBVA Compass Bank Houston, TX (Money Market)	A	Interest	N	T					
2. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	C	Dividend	M	T					
3. General Electric Co. Common Stock	A	Dividend	K	T					
4. IBM Common Stock	B	Dividend	K	T					
5. Exxon Mobil Corp. Common Stock	C	Dividend	L	T					
6. BBVA Compass Bank Checking Account		None	K	T					
7. T. Rowe Price Small Cap Value Fund	B	Distribution	N	T					
8.		Dividend							
9. T. Rowe Price New Era Fund	B	Distribution	M	T					
10.		Dividend							
11. Northwestern Mutual Whole Life Policies - See Part VIII	E	Dividend	O	V					
12. Abbott Labs Common Stock	B	Dividend	L	T					
13. Illinois Tool Works Inc Common Stock	E	Dividend	O	T					
14. Procter & Gamble Common Stock	C	Dividend	M	T					
15. Northwestern Mutual Variable Annuity Policy (Son, Annuitant)									
16. -- US Equity - Large Cap		None	K	T					
17. -- US Equity - Mid Cap		None	K	T					

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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Name of Person Reporting

KING, CAROLYN D.

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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) 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. -- US Equity - Small Cap		None	J	T					
19. -- Int'l Developed Mkts		None	K	T					
20. -- Int'l Emerging Mkts		None	J	T					
21. -- Fixed Income		None	L	T					
22. -- Cash/Cash Alternatives		None	J	T					
23. Northwestern Mutual Insurance Service Account	A	Interest	J	T					
24. Glaxosmithkline PLC	B	Dividend	K	T					
25. Texas GO 5% Bonds Due 10/1/2019	C	Interest			Redeemed	10/01/19	L		Issuer
26. Chevron Corp.	C	Dividend	L	T					
27. Royal Dutch Shell	C	Dividend	L	T					
28. Massachusetts GO 5.25% Bonds Due 8/1/2021	D	Interest	M	T					
29. Caterpillar Common Stock	C	Dividend	M	T					
30. Abbvie, Inc. Common Stock	C	Dividend	L	T					
31. Home Depot Common Stock	C	Dividend	M	T					
32. Microsoft Common Stock	C	Dividend	N	T					
33. Apple Common Stock	B	Dividend	M	T					
34. Walt Disney Common Stock	A	Dividend	K	T					

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	
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	(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)
35. Wisconsin Clean Water Bond 4% Due 6/01/23	C	Interest	M	T					
36. Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
37. Arkansas GO Higher Ed Bond 4% Due 6/1/24	C	Interest	M	T					
38. Stifel Bank & Trust - cash account	A	Interest	M	T					
39. BNYM Appreciation Fund Y (formerly Dreyfus Appreciation Fund)	E	Int./Div.	N	T	Sold (part)	12/09/19	K		
40. Fidelity Contra Fund (401(k))		None	O	T	Sold (part)	12/09/19	L		
41. Vanguard Prime MM (401(k))	A	Int./Div.	J	T	Sold (part)	12/09/19	J		
42. Vanguard High Dividend Yield ETF	C	Dividend	M	T					
43. Harris County TX Met Tran Bond 5% Due 11/1/26	C	Interest	M	T					
44. Oklahoma Dev Fin Auth Bond 5% Due 6/1/22	C	Interest	M	T					
45. Comwlth Fing Auth PA Bond 5% Due 6/1/25	C	Interest	M	T					
46. Lumberton TX Mud Util Sys Rev Bond 5% Due 8/15/20	C	Interest	M	T					
47. Galveston County TX Mud 44 Bond 5% Due 9/1/23	C	Interest	M	T					
48. College Station TX Indpt Sch Dist Bond 5% Due 8/15/25	C	Interest	M	T					
49. Connecticut ST ETC Ser E 5% Due 10/15/26	C	Interest	M	T					
50. Pennsylvania ST RFDG 2nd Ser B/E 5% Due 1/15/28	C	Interest	M	T					
51. Stifel Bank - cash account	A	Interest	M	T					

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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	
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52. FIAM Index TD 2005 S (401(k))		None	J	T	Sold (part)	12/09/19	J		
53. Stifel Trust Company NA	A	Interest	K	T	Open	10/31/19	K		
54. SPOUSE HOLDINGS LISTED BELOW: (H)									
55. Compass Bank (Houston)		None	O	T					
56. Royalty (Hendrix) Pecos County, Texas	A	Royalty	J	W					
57. Minerals (Rock Cliff Energy) Nacogdoches County, Texas	D	Royalty	L	W					
58. Minerals (Apache) Nacogdoches County, Texas		None	J	W					
59. Chase Bank (Houston)		None			Closed	02/01/19	J		
60. Minerals (Chesapeake) Nacogdoches County, Texas		None	J	W					
61. Fee Land, Llano County, Texas		None	K	W					
62. Prudential Insurance Company - Whole Life Policy	A	Int./Div.	J	T					
63. Minerals (Indigo), Nacogdoches County, Texas	C	Royalty	M	W					
64. Vallence Operating Co., Panola County, Texas	C	Royalty	M	W					
65. Minerals (AETHON) Nacogdoches County, Texas	B	Royalty	J	W					
66. Minerals (Patara & Gulf Coast) Shelby County,Texas	A	Royalty	J	W					
67. Minerals Nacogdoches County, Texas		None	J	W					
68. Minerals (XTO) Nacogdoches County, Texas		None	J	W					

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69. Minerals (Delta Petroleum) Newton County, Texas		None	J	W					
70. Texas State Bond 5% Due 10/1/22	C	Interest	M	T					
71. Brookston Energy, Shelby County, Texas	A	Royalty	J	W					
72. Massachusetts State Bond 5.25% Due 08/01/21	D	Interest	M	T					
73. Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
74. Apple Common Stock	B	Dividend	M	T					
75. Walt Disney Common Stock	A	Dividend	L	T					
76. Arkansas State Bond 4% Due 06/01/24	C	Interest	M	T					
77. Stifel Bank & Trust - cash account	A	Interest	M	T					
78. Minerals (British Petroleum) Panola County, Texas	B	Royalty	J	W					
79. Minerals (Amplify Energy) Panola Cty TX	A	Royalty	J	W					
80. Minerals (CDR) Shelby County, Texas	A	Royalty	J	W					
81. Minerals (CCI Gulf Coast), Nacogdoches County, Texas	A	Royalty	J	W					
82. Bank of Baroda - cash account	A	Interest	J	T					
83. Stifel Bank - cash account	A	Interest	L	T					
84. Stifel Trust Company NA	A	Interest	J	T	Open	06/30/19	J		

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

In response to Part VII #11C, I have reported the aggregate cash surrender value for the whole life policies. In response to Part VII #11B, I have shown the aggregate amount of the dividends on those policies, which are used to pay the premiums and increase the cash surrender value.

Part VII#60 - This year no royalty was received

Part VII#61 - This year no royalty was received.

I was married to Circuit Judge Thomas M. Reavley. He died on December 1, 2020.

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KING, CAROLYN D.

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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/ CAROLYN D. KING**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544