

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018**

*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) Henderson, Karen L.	2. Court or Organization US Circuit Court of Appeals, District of Columbia Circuit	3. Date of Report 07/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
7. Chambers or Office Address US Courthouse, Room 3118 333 Constitution Avenue, NW Washington, DC 20001		
IMPORTANT NOTES: <i>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>		

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

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. Executor	Estate
2.	
3.	
4.	
5.	

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

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.	
2.	
3.	

Name of Person Reporting	Date of Report
Henderson, Karen L.	07/01/2019

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

A. Filer's Non-Investment Income

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Henderson, Karen L.	07/01/2019

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

Henderson, Karen L.

Date of Report

07/01/2019

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. Wells Fargo Bank Account		None	K	T					
2. Suntrust Bank Checking Account	A	Interest	J	T					
3. First Citizens Account	A	Interest	M	T					
4. Suntrust Bank Investment Account Contains:									
5. **Suntrust Cash Account	A	Dividend	M	T					
6. Allis Chalmers Energy Inc.: Common		None	J	W					
7. Morgan Stanley Account Contains:									
8. **Morgan Stanley Cash Accounts	A	Interest	K	T					
9.	A	Dividend							
10. **AT&T Inc,: Common	B	Dividend	K	T					
11. **NCR Corp: Common		None	J	T					
12. **Teradat Corp: Common		None	J	T					
13. **International Business Machines: Common	A	Dividend	J	T					
14. IRA: Morgan Stanley Contains:									
15. **AT&T Inc: Common	C	Dividend	L	T					
16. **Citigroup Inc,: Common	A	Dividend	J	T					
17. **Intl Business Machines Corp,: Common	C	Dividend	L	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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	(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)
18. **NCR Corp.: Common		None	J	T					
19. **Teradata Corp: Common		None	J	T					
20. **Morgan Stanley Cash Accounts	A	Int./Div.	L	T					
21. **Travelers Companies: Common	A	Dividend	K	T					
22. Merrill Lynch Account (Y)									
23. **Merrill Lynch Cash Accounts (Y)									
24. Merrill Lynch IRA Contains:									
25. **AT&T Inc.: Common	B	Dividend	K	T					
26. **Marathon Oil Corp: Common	A	Dividend	K	T					
27. **Marathon Petroleum: Common	D	Dividend	M	T					
28. **Merrill Lynch Cash Accounts	A	Interest	K	T					
29. Wells Fargo Rollover IRA Contains:									
30. **Wells Fargo PT Money Market Fund A	D	Interest	O	T					
31. Stanley Black & Decker Corp: Common (Y)									
32. Bank America Corp: Common (Y)									
33. The Boeing Co: Common (Y)									
34. Campbell Soup Co.: Common (Y)									

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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. Colgate-Palmolive Co.: Common (Y)									
36. General Electric Co.: Common (Y)									
37. The Goodyear Tire & Rubber Co.: Common (Y)									
38. IBM Corp.: Common (Y)									
39. Exxon-Mobil Corp.: Common (Y)									
40. Kinder Morgan (Y)									
41. Pfizer Co.: Common (Y)									
42. Marathon Group: Common (Y)									
43. Marathon Petroleum: Common (Y)									
44. Monsanto: Common (Y)									
45. Chevron Corporation: Common (Y)									
46. Weyerhaeuser Co.: Common (Y)									
47. US Steel Group: Common (Y)									
48. Allstate: Common (Y)									
49. Discover Financial Services: Common (Y)									
50. Federal Signal Corp: Common (Y)									
51. Halliburton Co.: Common (Y)									

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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Name of Person Reporting

Henderson, Karen L.

Date of Report

07/01/2019

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52. Morgan Stanley: Common (Y)									
53. 21st Century Fox: Common (Y)									
54. Royal Dutch Shell: Common (Y)									
55. Schlumberger Ltd.: Common (Y)									
56. Transocean Inc.: Common (Y)									
57. Valhi Inc.: Common (Y)									
58. Total S.A.: Common (Y)									
59. Wells Fargo Bank Account (Y)									
60. First Citizens Bank Account (Y)									
61. NBSC Money Market Account (Y)									
62. BB&T Money Market Account (Y)									
63. South State Bank Account (Y)									
64. TD Bank Money Market Account (Y)									
65. Minnesota Mutual Whole Life Insurance Policy (Y)									
66. John Hancock Whole Life Insurance Policy (Y)									
67. Merrill Lynch SEP Contains:									
68. **Merrill Lynch SEP Cash Accounts	A	Dividend	K	T					

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69. **Chevron Corp.: Common	D	Dividend	M	T					
70. Wells Fargo Bank Trust Contains (Y):									
71. **Wells Fargo Cash Accounts (Y)									
72. **American Century Tax Free Bond (Y)									
73. **AQR Managed Futures (Y)									
74. **Artisan Mid Cap Fund (Y)									
75. **ASG Global Alternatives (Y)									
76. **Credit Suisse Commodity (Y)									
77. **Dodge & Cox International Stock Fund (Y)									
78. **Dreyfus Tax Exempt (Y)									
79. **Eaton Vance Global (Y)									
80. **Fidelity Emerging Markets (Y)									
81. **Harbor Capital Appreciation Fund (Y)									
82. **JP Morgan Mid Cap Value Fund (Y)									
83. **The Merger Fund Class International (Y)									
84. **MFS Value Fund (Y)									
85. **Neuberger Bennan Long Short Fund (Y)									

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Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Henderson, Karen L., 07/01/2019

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns (1) through (5) for transaction details. Rows 86-102 list various funds and a Wells Fargo Brokerage Account.

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
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Name of Person Reporting

Henderson, Karen L.

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103. **Wells Fargo Cash Accounts (Y)									
104. **US Treasury Bill Due 1/05/2017 (Y)									
105. AT&T Stock (Y)									
106. Newscorp Stock (Y)									
107. Ahold Delhaize (Y)									
108. Regions Bank (Y)									
109. Estate [REDACTED] :									
110. *First Citizens Bank Account (X)		None	N	T					
111. *First Citizens Estate Account: (X)									
112. **First Citizens Cash Accounts (X)	D	Interest	L	T					
113. **Ally Bank Sandy Utah CD (X)		None	M	T					
114. **American Express National Bank CD (X)		None	M	T					
115. **BMW Bank North America CD (X)		None	M	T					
116. **Bank Hope Los Angeles CD (X)	B	Interest	M	T					
117. **Bank of the West CD (X)		None	M	T					
118. **Citibank NA Protected Market CD (X)	B	Interest	M	T					
119. **Discover Bank CD (X)		None	M	T					

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120. **Goldman Sachs Bank CD (X)		None	M	T					
121. **HSBC Bank CD (X)	B	Interest	M	T					
122. **Iberia Bank CD (X)		None	M	T					
123. **JP Morgan Chase Bank CD (X)	B	Interest	M	T					
124. **Morgan Stanley Bank CD (X)		None	M	T					
125. **MUFG Un Bank CD (X)		None	M	T					
126. **Sallie Mae Bank CD (X)		None	M	T					
127. **Wells Fargo Bank CD (X)	B	Interest	M	T					
128. **Transocean Ltd: Common (X)		None	J	T					
129. **AT&T, Inc.: Common (X)	A	Dividend	J	T					
130. **Allstate Corp: Common (X)	A	Dividend	K	T					
131. **Bank of Amercia Corp: Common (X)	D	Dividend	O	T					
132. **Boeing Co.: Common - (X)	E	Dividend	P1	T					
133. **Campbell Soup Co.: Common (X)	C	Dividend	M	T					
134. **Cheveron Corp.: Common (X)	D	Dividend	N	T					
135. **Colgate Palmolive Co: Common (X)	E	Dividend	P1	T					
136. **Discover Financial Services: Common (X)	A	Dividend	J	T					

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137. **Exxon Mobil Corp: Common (X)	D	Dividend	N	T	Sold (part)	08/17/18	J	A	
138. **Federal Signal Corp: Common (X)	A	Dividend	L	T					
139. **General Electric Co: Common (X)	A	Dividend	N	T					
140. **Goodyear Tire & Rubber Co: Common (X)	A	Dividend	K	T	Sold (part)	08/17/18	J	A	
141. **Halliburton Co: Common (X)	A	Dividend	K	T					
142. **International Business Machines Corp: Common (X)	D	Dividend	M	T					
143. **Kinder Morgan Inc.: Common	B	Distribution	K	T					
144. **Koninkluke Ahold NV: Common (X)		None	K	T					
145. **Marathon Oil Corp: Common (X)	A	Dividend	L	T					
146. **Marathon Pete Corp: Common (X)	C	Dividend	N	T					
147. **Morgan Stanley: Common (X)	A	Dividend	K	T					
148. **News Corp: Common (X)	A	Dividend	J	T					
149. **Pfizer Inc.: Common (X)	D	Dividend	N	T					
150. **Royal Dutch Shell: Common (X)	D	Dividend	O	T					
151. **Schlumberger Ltd.: Common (X)	B	Dividend	M	T					
152. **Stanley Black & Decker Inc.: Common (X)	A	Dividend	L	T					
153. **Total SA: Common (X)	A	Dividend	J	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	

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)
154. **Twenty-First Century Fox, Inc.: Common (X)	A	Dividend	J	T					
155. **United STS Steel Corp: Common (X)	A	Dividend	J	T					
156. **Valhi Inc.: Common (X)	A	Dividend	J	T					
157. **Weyerhaeuser Co.: Common (X)	A	Dividend	L	T					
158. *Wells Fargo Trust Account (X):									
159. **Wells Fargo Money Market (X)	E	Interest	M	T					

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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Name of Person Reporting

Henderson, Karen L.

Date of Report

07/01/2019

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

Judge Henderson's husband passed away in April 2018. All assets previously owned by Dr. Henderson have been indicated with a (Y) as a non-reportable asset for 2018. Those assets that have been moved into his estate during 2018 have been reported on the disclosure report and included as a reportable asset and indicated with (X).

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Henderson, Karen L.

Date of Report

07/01/2019

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/ **Karen L. Henderson**

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