

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR ~~1997~~ 1998

Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C. App. 4, 101-112)

1. Person Reporting (Last name, first, middle initial) Ellison, Keith P.	2. Court or Organization United States District Court for the Southern District of Texas	3. Date of Report 1/4/99
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Nominee - United States District Court Judge	5. Report Type (check appropriate type) ☒ Nomination, Date _____ ☒ Initial ☐ Annual ☐ Final	6. Reporting Period 1/1/98 - 12/31/98
7. Chambers or Office Address 1100 Louisiana Suite 4600 Houston, Texas 77002	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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

POSITION NAME OF ORGANIZATION/ENTITY

☐ NONE (No reportable positions.)	
1 Director	American South African Scholarship Assoc.
2 Director Vice President	Harry A. Blackmun Scholar. Foundation Gulf Coast Legal Foundation
3 Advisory Director Secretary	Houston Achievement Place Assoc. Rhodes Scholarship Selection Committee District VII

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

DATE PARTIES AND TERMS

☐ NONE (No reportable agreements.)	
1 1987	Two retirement plans with former law firm, Baker & Botts, L.L.P. Both plans are administered by Fidelity Investments and the firm has no control over my investments or earnings.
2	
3 1997	All monies are invested in a Fidelity Mutual Fund, Fixed contingency fee agreements with regard to the cases on attached page.

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

DATE SOURCE AND TYPE GROSS INCOME
(yours, not spouse's)

☐ NONE (No reportable non-investment income.)		
1 1997	(Self-employed)	\$263,903.58
2 1998	(Self-employed)	\$1,001,120.31
3 1998	Partnership interest of spouse in the law firm of Fulbright & Jaworski, L.L.P. (S)	\$
4		\$
5		\$

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

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements received by spouse and dependent children, respectively. See pp. 25-28 of Instructions.)

SOURCE

DESCRIPTION

☐

NONE (No such reportable reimbursements.)

1		
2	Exempt	
3		
4		
5		
6		
7		

V. GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate gifts received by spouse and dependent children, respectively. See pp. 29-32 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts.)

1			\$
2	Exempt		\$
3			\$
4			\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate, where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 33-35 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☐

NONE (No reportable liabilities.)

1			
2	Baker & Botts L.L.P.	Loan	K
3	Savings Plan for Partners		
4	NationsBank	Loan	K
5			
6			

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

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A. Description of Assets (including trust assets) <i>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions.)					EXEMPT				
1 West Harris Cnty Tex MUD No. 9 Bond	B	int	K	T					
2 Auraria Higher Ed. bond	A	int	J	T					
3 Ricewood MUD Bond	B	int	K	T					
4 Central TX ISD Bond	A	int	J	T					
5 Sam Rayburn TX Pwr Agy Bond	B	int	K	T					
6 Chic. Ill Ohare Int'l Bond	B	int	K	T					
7 Waterbury Conn. HSG Corp Bond	B	int	K	T					
8 Boterlove Ltd. Part.	B	div	K	R					
9 Wells Fargo Hou. -(J)	A	int	K	T					
10 NationsBank Hou. (J)	A	int	J	T					
11 Fidelity Investments Savings Plan	A	div	P1	T					
12 Paine Webber SEP/IRA	A	div	L	T					
13 Morgan Stanley Dean Witter IRA	A	div	L	T					
14									
15									
16									
17									
18									

1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, D3) K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 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 (See Col. C2) U=Book value R=Cost (real estate only) V=Other S=Assessment W=Estimated T=Cash/Market

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)**IX. CERTIFICATION.**

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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 was not applicable under 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. 4, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature _____

Date _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. App. 4, § 104.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL STATEMENT NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trust, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks	70,000			Notes payable to banks - secured	16,458		
U.S. Government securities- add schedule	None			Notes payable to banks-unsecured	None		
Listed securities-add schedule	134,470			Notes payable to relatives	None		
Unlisted securities-add schedule	None			Notes payable to my retirement plan	22,587		
Accounts and notes receivable:	None			Accounts and bills due	None		
Due from relatives and friends	None			Unpaid income tax	None		
Due from Others	None			Other unpaid tax and interest	None		
Doubtful	None			Real estate mortgages payable -add schedule	992,994		
Real estate owned-add schedule	2,290,000			Chattel Mortgages and other liens payable	None		
Real estate mortgages receivable	None			Other debts-itemize:	None		
Autos Other personal property Art and 18th century furniture and books	20,000 - 850,000						
Cash value-life insurance							
Other assets-itemize:	0						
Retirement Accounts	1,255,276			Total Liabilities:	1,032,039		
	0			Net worth:	3,587,707		
Total Assets:	4,619,746			Total liabilities and net worth:	4,619,746		
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor	No			ARE ANY ASSETS PLEDGED? (ADD SCHEDULE.)	Not other than home- stead		