

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) Ellis III, Thomas S.	2. Court or Organization U.S. District Court, E.D. Va.	3. Date of Report 07/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	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 401 Courthouse Square 9th Floor Alexandria, VA 22314-5799		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Ellis III, Thomas S.

Date of Report

07/13/2020

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.		
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	County of Albemarle - Salary
2. 2019	Self-employed education consultant
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
Ellis III, Thomas S.	07/13/2020

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.		

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. Sensor		None	J	T					
2. University of Virginia Community Credit Union Bank Accounts	A	Int./Div.	K	T					
3.									
4. IRA #1 (Closed) (H)									
5. - Harbor Cap Appreciation Instl CL	A	Dividend			Sold (part)	04/08/19	J	A	
6.					Sold	09/17/19	J	B	
7. - Oppenheimer Intl Grw Fd CL Y	A	Dividend			Sold (part)	04/08/19	J	A	
8.					Sold	08/06/19	J	A	
9. - Lazard Fds Inc Emerging Mkts Instl shs	A	Dividend			Sold (part)	04/08/19	J	A	
10.					Buy (add'l)	08/06/19	J		
11.					Sold	09/17/19	J	B	
12. - Victory Sycamore Small Co Oppty Fd Cl 1	A	Dividend			Sold (part)	04/08/19	J	A	
13.					Sold	09/17/19	J	B	
14. - GS TR Finl Sq Treas Instrs Fd Instl Cl	A	Dividend			Sold (part)	01/11/19	J	A	
15.					Buy (add'l)	03/20/19	J		
16.					Sold (part)	04/12/19	J	A	
17.					Sold (part)	07/12/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

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

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18.					Buy (add'l)	08/07/19	J		
19.					Sold	09/07/19	J	A	
20. - American Fds Washington Mt FD F2	A	Dividend			Sold (part)	04/08/19	J	A	
21.					Sold	09/17/19	J	A	
22. - DWS Enhanced Comodi Strategy Fd Inst	A	Dividend			Sold (part)	04/08/19	J	A	
23.					Sold (part)	08/06/19	J	A	
24.					Sold	09/17/19	J	A	
25. - Wells Fargo FDS TR Core Bond Fund Class Inst	A	Dividend			Sold	09/17/19	J	A	
26. - MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend			Sold (part)	04/08/19	J	A	
27.					Sold	09/17/19	J	A	
28. - Eaton Vance Ser II Income Fd Boston Cl I	A	Dividend			Sold (part)	04/08/19	J	A	
29.					Sold	09/17/19	J	A	
30. - MFS Ser TR 1 Value Fd Cl 1	A	Dividend			Sold (part)	04/08/19	J	A	
31.					Sold	09/17/19	J	C	
32. - T Rowe Price Real Es Fund Inc	A	Dividend			Sold (part)	04/08/19	J	A	
33.					Sold	08/06/19	J	A	
34. - Principal Fds Inc Global Real Estate Secs Fund Instl Class	A	Dividend			Sold (part)	04/08/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35.					Sold	08/06/19	J	A	
36. - Carillon Ser TR Eagle Sm Cap Growth Fd CL 1	A	Dividend			Sold	09/17/19	J	A	
37. - Baron Invt Fds Tr Sm Cap Fd Instl CL 1	A	Dividend			Sold (part)	04/08/19	J	A	
38.					Sold	09/17/19	J	B	
39. - Virtus Asset Tr Ceredex Mid Cap Value Equity Fd CL 1	A	Dividend			Sold (part)	04/08/19	J	A	
40.					Buy (add'l)	08/06/19	J		
41.					Sold	09/17/19	J	B	
42. - Janus Henderson Fd Flexible BD FD CL 1	A	Dividend			Sold	03/19/19	J	C	
43. - Virtus Fds Virtus Vontobel Emg Mkts Opp Fd CL 1	A	Dividend			Sold (part)	04/08/19	J	A	
44.					Buy (add'l)	08/06/19	J		
45.					Sold	09/17/19	J	B	
46. - T Rowe Price Intl Fd Overseas Stk Fd	A	Dividend			Sold (part)	04/08/19	J	A	
47.					Buy (add'l)	08/07/19	J		
48.					Sold	09/17/19	J	A	
49. - Edgewood Fds Growth Fd Instl Cl	A	Dividend			Sold (part)	04/09/19	J	A	
50.					Sold	09/17/19	J	B	
51. - T Rowe Price Mid-Cap Growth Fd Inc	A	Dividend			Sold (part)	04/08/19	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52.					Buy (add'l)	08/06/19	J		
53.					Sold	09/17/19	J	B	
54. - Baird Fds Inc Agg BD FD Instl SHS Class I	A	Dividend			Buy	03/19/19	J		
55.					Sold (part)	04/08/19	J	A	
56.					Buy (add'l)	08/06/19	J		
57.					Sold	09/17/19	J	C	
58. - Dodge & Cox FDS INTL STK FD	A	Int./Div.			Buy	08/06/19	J		
59.					Sold	09/18/19	J	A	
60. IRA #2 (H)									
61. - GS Tr Finl Sq Treas Instrs Fd Instl Cl	B	Dividend	J	T	Sold (part)	07/12/19	J	A	
62.					Buy (add'l)	08/06/19	J		
63.					Sold (part)	10/11/19	J	A	
64. - AMG Times Sq M/C GRW-PR	A	Dividend	J	T	Sold (part)	06/11/19	J	C	
65.					Buy (add'l)	08/06/19	J		
66. - John Hancock Classic Value Fd CL 1	A	Dividend	J	T	Sold (part)	06/11/19	J	A	
67. - Harbor Int'l Inst'l CL	A	Dividend			Sold	08/06/19	J	C	
68. - Hotchkis & Wiley Fds Mid Cap Value Fd CL 1	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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Date of Report

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69. - Blair William Fds Intl Growth Fd CL 1	A	Dividend	J	T					
70. - PIMCO Fds PAC Invt Mgmt Ser-Comm	A	Dividend	J	T					
71. - BNY Mellon Appreciation Fd Inc	A	Dividend	J	T					
72. - Morgan Stanley Instl Fd Trust Mid Cap Grwth Port CL 1	A	Dividend	J	T					
73. - Invesco Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Sold (part)	06/11/19	J	B	
74.					Buy (add'l)	08/06/19	J		
75. - Wells Fargo Emerging Grwth Fd	A	Dividend	J	T					
76. - Keeley Fds Sm Cap Divident Value Fd	A	Dividend	J	T					
77. - Mainstay Large Cap Grwth Fd	A	Dividend	J	T	Sold (part)	06/11/19	J	C	
78. - Cambiar Opp Fd	A	Dividend	J	T					
79. - Carillon Eagle Sm Cap Grwth Fd CL 1	A	Dividend	J	T	Sold (part)	06/11/19	J	A	
80.					Buy (add'l)	08/06/19	J		
81. - Delaware Grp Equity Fds II-Value Fd Instl CL	A	Dividend	J	T					
82. - Invesco Global Real Estate Y	A	Dividend	J	T					
83. - Victory Sycamore Sm Co. Oppty FD CL 1	A	Dividend	J	T	Buy (add'l)	08/07/19	J		
84. - Lazard Fds Emerging Mkts Port Instl SHS	A	Dividend	J	T	Sold (part)	06/11/19	J	B	
85.					Buy (add'l)	08/06/19	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
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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. - Guggenheim Fds SMid Cap Value FD	A	Dividend	J	T					
87. - Voya Ser Fd Inc Large Cap Grwth Fd	A	Dividend	J	T					
88. - American Fds Washington Mut Fd F2	A	Dividend	J	T	Sold (part)	06/11/19	J	B	
89. - Wells Fargo Fds TR Core Bond Fund Class Inst	A	Dividend	J	T	Sold (part)	06/11/19	J	B	
90.					Buy (add'l)	08/07/19	J		
91. - MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend	J	T	Sold (part)	06/11/19	J	A	
92. - Eaton Vance Ser II Income Fund Boston CI I	A	Dividend	J	T	Sold (part)	06/11/19	J	A	
93. - T Rowe Price Real Estate Fd Inc	A	Dividend	J	T	Sold (part)	08/06/19	J	B	
94. - Principal Funds Inc Global Real Estate Secs Fd Instl CI	A	Dividend	J	T	Sold (part)	08/06/19	J	C	
95. - Eaton Vance Ser II Income Fd Boston CI 1	A	Dividend	J	T	Buy	01/02/19	J		
96. - MFS Ser TR 1 Value Fd CI 1	A	Dividend	J	T	Sold (part)	06/11/19	J	A	
97. - DWS Enhanced Commodi Strategy Fd Inst	A	Dividend	J	T	Sold (part)	08/06/19	J	B	
98. - T Rowe Price Intl Fd Overseas Stk Fd	A	Dividend	J	T					
99. - Virtus Asset TR	A	Dividend	J	T	Buy	08/06/19	J		
100. - Dodge & Cox FDS	A	Dividend	J	T	Buy	01/02/19	J		
101.					Sold (part)	07/15/19	J	A	
102.									

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103.									

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting	Date of Report
Ellis III, Thomas S.	07/13/2020

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

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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/ Thomas S. Ellis III**

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