

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 07/19/2021
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 01/01/2020 to 12/31/2020
	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.		

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Name of Person Reporting

Ellis III, Thomas S.

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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.		
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. 2020	County of Albemarle - Salary
2. 2020	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.	07/19/2021

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) 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. Sensor		None	J	T					
2. University of Virginia Community Credit Union Bank Accounts	A	Int./Div.	L	T					
3.									
4. IRA (H)									
5. - Goldman Sachs Tr Finl Sq Treas Instrs Fd Instl Cl	A	Dividend	J	T	Sold (part)	01/10/20	J	A	
6.					Sold (part)	04/09/20	J	A	
7.					Buy (add'l)	06/17/20	J		
8.					Sold (part)	07/10/20	J	A	
9.					Sold (part)	10/09/20	J	A	
10. - AMG Times Sq Mid Cap Growth Fd Cl I	A	Dividend	J	T					
11. - John Hancock Classic Value Fd CL 1	A	Dividend			Sold	06/16/20	J	B	
12. - Hotchkis & Wiley Fds Mid Cap Value Fd CL 1	A	Dividend			Sold	01/10/20	J	A	
13. - Blair William Fds Intl Growth Fd CL 1	A	Dividend			Sold	04/09/20	J	B	
14. - PIMCO Fds PAC Invt Mgmt Ser-Comm	A	Dividend			Sold	06/16/20	J	A	
15. - BNY Mellon Appreciation Fd Inc	A	Dividend			Sold	06/16/20	J	A	
16. - Morgan Stanley Instl Fd Trust Mid Cap Grwth Port CL 1	A	Dividend			Sold	06/16/20	J	A	
17. - Invesco Oppenheimer Dev Mkts CL Y	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	

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☐ 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. - Wells Fargo Emerging Grwth Fd Cl I	A	Dividend	J	T					
19. - Keeley Fds Sm Cap Dividend Value Fd	A	Dividend			Sold	01/10/20	J	A	
20. - Mainstay Winslow Large Cap Grwth Fd Cl I	A	Dividend	J	T	Sold (part)	04/09/20	J	A	
21. - Cambiar Opp Fd Cl I	A	Dividend			Sold	01/10/20	J	A	
22. - Carillon Eagle Sm Cap Grwth Fd CL 1	A	Dividend	J	T					
23. - Delaware Gr Equity Fds II-Value Fd Instl Cl	A	Dividend			Sold	01/10/20	J	A	
24. - Invesco Global Real Estate Y	A	Dividend			Sold	01/10/20	J	A	
25. - Victory Sycamore Sm Co. Oppty FD CL 1	A	Dividend	J	T					
26. - Lazard Fds Emerging Mkts Port Instl SHS	A	Dividend			Sold	06/16/20	J	B	
27. - Guggenheim Fds SMid Cap Value FD	A	Dividend			Sold	04/09/20	J	A	
28. - Voya Large Cap Grwth Fd CL I	A	Dividend	J	T					
29. - American Fds Washington Mut Fd F2	A	Dividend	K	T	Buy (add'l)	06/16/20	J		
30. - Wells Fargo Fds Core Bond Fund Cl Inst	A	Dividend	J	T					
31. - MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend	J	T					
32. - Eaton Vance Ser II Income Fund Boston Cl I	A	Dividend	J	T					
33. - T Rowe Price Real Estate Fd Inc	A	Dividend			Sold	06/16/20	J	A	
34. - Principal Funds Inc Global Real Estate Secs Fd Instl Cl	A	Dividend			Sold	01/10/20	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	
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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)
35. - Eaton Vance Ser II Income Fd Boston Cl 1	A	Dividend	J	T					
36. - MFS Ser TR 1 Value Fd Cl 1	A	Dividend	J	T	Buy (add'l)	06/17/20	J		
37. - DWS Enhanced Commodi Strategy Fd Inst	A	Dividend			Sold	06/17/20	J	A	
38. - T Rowe Price Intl Fd Overseas Stk Fd	A	Dividend	K	T	Buy (add'l)	06/16/20	J		
39. - Virtus Asset TR Ceredex Mid Cap Value Equity Fd CL I	A	Dividend	J	T					
40. - Dodge & Cox FDS INTL Stk Fd	A	Dividend			Sold	06/16/20	J	A	
41. Baron Select Funds Emerging Mkts Fd Instl SHS	A	Dividend	J	T	Buy	06/16/20	J		
42.									
43.									

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/ 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
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Washington, D.C. 20544