

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Ellington, Janice	2. Court or Organization Southern District of Texas	3. Date of Report 07/18/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 1133 N. Shoreline Blvd. Corpus Christi, TX 78401		
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. Committee Member and Committee Chair	Texas State Bar - Texas Lawyer's Assistance Program
2.	
3.	
4.	
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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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Real property - unimproved lots in WA - Assessed Value 4,000		None	J	W					
2. Checking Accts. - American Bank, CC, TX	A	Interest	N	T					
3. Exxon Mobil	A	Dividend	K	T					
4. UBS Rollover IRA (H)									
5. -UBS Bank USA Deposit Account-Cash	A	Interest	J	T					
6. -First Trust North American Energy Infrastructure Fund ETF	A	Dividend	J	T					
7. -The First Trust Dorsey Wright Dynamic Focus	A	Dividend	J	T					
8. -Cohen & Steers MLP & Energy Opp Fd Class I	A	Dividend	J	T					
9. -Columbia Midcap Index Fund Class Institutional	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
10. -Davis Financial Fund Class Y	A	Dividend	J	T					
11. -First Eagle Overseas Fund Class I	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
12. -FMI International Fund Class Institutional	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
13. -Goldman Sachs Large Cap Growth Insights Fund Class I	A	Dividend	J	T					
14. -Janus Henderson Global Equity Income Fund I	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
15. -Janus Henderson U. S. Managed Volatility Fund Class I	A	Dividend	J	T					
16. -Invesco Diversified Dividend Fund CI Y	A	Dividend	J	T	Sold (part)	01/03/17	J	A	
17. -MFS Massachusetts Inves Growth Stock Fund	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 ~\$250,000,001 - \$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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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 I (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. -Nuveen Santa Barbara Dividend Growth Fund I	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
19. -Nuveen Small Cap Value Fund I	A	Dividend	J	T	Sold (part)	01/03/17	J	A	
20. -Putnam Multi Cap Value Fund Class Y	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
21. -Vanguard 500 Index Fund Admiral	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
22. -Vanguard Financials Index Fund Admiral	A	Dividend	J	T					
23. -Vanguard Equity Income Fund Admiral	A	Dividend	J	T	Sold (part)	01/03/17	J	A	
24. First Trust Low Duration Mortgage Opportunities ETF	A	Int./Div.	K	T	Buy	09/19/17	K		
25. -Cohen & Steers Low Duration Pref & Inc. Fund Class I	B	Dividend	K	T	Buy	03/22/17	K		
26.					Buy (add'l)	03/22/17	K		
27.					Sold (part)	09/12/17	J	A	
28. -Doubleline Low Duration Bond Fund	A	Int./Div.	K	T	Sold (part)	01/03/17	J		
29. -Fidelity Advisor Limited Term Bond Fund Class I	A	Dividend	K	T	Sold (part)	01/03/17	J		
30. -Lord Abbett Short Duration Income Fund	A	Dividend	K	T	Buy	09/19/17	K		
31. -Metropolitan West Low Duration Bond Fund Class I	A	Dividend	K	T					
32. -Metropolitan West Unconstrained Bond Fund I	A	Dividend	K	T					
33. -Pioneer Multi-Asset Ultrashort Income Fund Class Y	A	Dividend			Sold (part)	01/03/17	J		
34.					Sold (part)	09/19/17	J		

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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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35.					Sold (part)	09/19/17	J		
36.					Sold (part)	09/19/17	J		
37.					Sold	09/19/17	J	A	
38. -Putnam Short Duration Income Fund Y	A	Dividend			Sold (part)	01/03/17	J	A	
39.					Sold (part)	03/22/17	J	A	
40.					Sold	03/22/17	J	A	
41. -Ridgeworth SEIX US Govt Securities Ultra Short Bond Fund	A	Int./Div.			Sold (part)	01/03/17	J		
42.					Sold (part)	03/22/17	J		
43.					Sold	03/22/17	J	A	
44. -Thornburg Limited-Term US Govt Inst	A	Int./Div.			Sold (part)	01/03/17	J		
45.					Sold	09/19/17	K		
46. -Thornburg Ltd Term Income /ck 1	A	Int./Div.	K	T	Sold (part)	01/03/17	J	A	
47. -Vanguard Short-Term Corp Bd Idx Admiral	A	Int./Div.	K	T	Sold (part)	01/03/17	J	A	
48. -Boston Partners Long/Short Research Fd Class Inst			J	T					
49. -American Funds: American Balanced Fund Class F2	A	Dividend	J	T					
50. -Invesco Balanced Risk Allocation Fund Y	A	Dividend	J	T					
51. -									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

VII. Line 1 - 4 Unimproved Lots in Grant County, WA

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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/ Janice Ellington**

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