

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) KING, CAROLYN D.	2. Court or Organization U.S. COURT OF APPEALS 5TH CIR.	3. Date of Report 05/09/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - SENIOR STATUS	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 U.S. COURTHOUSE, ROOM 11020 515 RUSK AVENUE HOUSTON, TX 77002-2694		
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. EMERITUS MEMBER OF COUNCIL	AMERICAN LAW INSTITUTE
2. MEMBER OF ADVISORY BOARD	THE CENTER FOR THOMISTIC STUDIES, UNIVERSITY OF SAINT THOMAS
3. MEMBER OF PRESIDENT'S BOARD OF ADVISORS	UNIVERSITY OF SAINT THOMAS
4. MEMBER & VICE CHAIR, BOARD OF TRUSTEES; MEMBER, EXECUTIVE COMMITTEE	BAYLOR COLLEGE OF MEDICINE
5. MEMBER OF THE BOARD OF DIRECTORS	CHI ST. LUKE'S HEALTH BAYLOR COLLEGE OF MEDICINE MEDICAL CENTER

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	NORTON ROSE FULBRIGHT DEFINED BENEFIT PENSION	\$33,194.76
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. 2017	STATE OF TEXAS, JUDICIAL RETIREMENT
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Law Institute	10/19/2017 to 10/20/2017	New York, NY	Attend council meeting	Reimbursement of lodging, meals, transportation and airfare
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.)*

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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KING, CAROLYN D.

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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. Compass Bank Houston, TX (Money Market)	A	Interest	N	T					
2. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	A	Dividend	L	T					
3. General Electric Co. Common Stock	B	Dividend	L	T					
4. IBM Common Stock	B	Dividend	K	T					
5. Exxon Mobil Corp. Common Stock	C	Dividend	L	T					
6. Compass Bank Checking Account		None	J	T					
7. T. Rowe Price Small Cap Value Fund	C	Distribution	N	T					
8.		Dividend							
9. T. Rowe Price New Era Fund	B	Distribution	M	T					
10.		Dividend							
11. Northwestern Mutual Whole Life Policies - See Part VIII	E	Dividend	O	V					
12. Abbott Labs Common Stock	B	Dividend	L	T					
13. Illinois Tool Works Inc Common Stock	E	Dividend	O	T					
14. Procter & Gamble Common Stock	C	Dividend	M	T					
15. Northwestern Mutual Variable Annuity Policy (Son, Annuitant)		None	M	T					
16. Tarrant Cnty Tex Hea B LTH FACS Dev Corp 5% Bonds - Due 12/1/2019	C	Interest	M	T					
17. Northwestern Mutual Insurance Service Account	A	Interest	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 \$5,000,000	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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Name of Person Reporting

KING, CAROLYN D.

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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)

18. Glaxosmithkline PLC	B	Dividend	K	T					
19. Texas GO 5% Bonds Due 10/1/2019	C	Interest	M	T					
20. Phoenix AZ Rev. 5% Bonds Due 7/1/2018	C	Interest	M	T					
21. Chevron Corp.	C	Dividend	L	T					
22. Royal Dutch Shell	C	Dividend	L	T					
23. Dallas Cnty TX Cmnty College GO 5% Bonds Due 2/15/21	C	Interest	M	T					
24. Massachusetts GO 5.25% Bonds Due 8/1/2021	D	Interest	M	T					
25. Caterpillar Common Stock	C	Dividend	M	T					
26. Abbvie, Inc. Common Stock	C	Dividend	L	T					
27. Home Depot Common Stock	B	Dividend	L	T					
28. Microsoft Common Stock	C	Dividend	M	T					
29. Apple Common Stock	B	Dividend	L	T					
30. Walt Disney Common Stock	A	Dividend	K	T					
31. Wisconsin Clean Water Bond 4% Due 6/01/23	C	Interest	M	T					
32. Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
33. Arkansas GO Higher Ed Bond 4% Due 6/1/24	C	Interest	M	T					
34. Stifel Bank & Trust - cash account	A	Interest	M	T					

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
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
35. American Express Centurion Bank-cash account	A	Interest	M	T					
36. East West Bank - cash account	A	Interest			Closed	09/30/17	J		
37. Barclays Bank Delaware - cash account	A	Interest			Closed	09/30/17	J		
38. Kearny Bank - cash account	A	Interest			Closed	09/30/17	J		
39. Citibank, NA - cash account	A	Interest			Closed	09/30/17	J		
40. Dreyfus Appreciation Fund (401(k))	E	Int./Div.	N	T	Sold (part)	12/08/17	K		
41. Fidelity Contra Fund (401(k))	E	Int./Div.	N	T	Sold (part)	12/08/17	K		
42. Vanguard Prime MM (401(k))	A	Int./Div.	J	T	Sold (part)	12/08/17	J		
43. FIAM Index TD 2005 U (401(k))	A	Int./Div.	J	T	Buy	03/14/17	J		
44. Vanguard High Dividend Yield ETF	C	Dividend	M	T					
45. Harris County TX Met Tran Bond 5% Due 11/1/26	C	Interest	M	T	Buy	02/08/17	M		
46. Oklahoma Dev Fin Auth Bond 5% Due 6/1/22	C	Interest	M	T	Buy	02/09/17	M		
47. Comwlth Fing Auth PA Bond 5% Due 6/1/25	C	Interest	M	T	Buy	02/10/17	M		
48. Spouse Holdings Listed Below:									
49. Compass Bank (Houston)		None	N	T					
50. Royalty (Hendrix) Pecos County, Texas	A	Royalty	J	W					
51. Minerals (Samson) Nacogdoches County, Texas	D	Royalty	L	W					

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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52. Minerals (Apache) Nacogdoches County, Texas		None	J	W					
53. Chase Bank (Houston)	A	Interest	J	T					
54. Minerals (Chesapeake) Nacogdoches County, Texas		None	J	W					
55. Fee Land, Llano County, Texas		None	K	W					
56. Prudential Insurance Company - Whole Life Policy	A	Int./Div.	J	T					
57. Minerals (Indigo), Nacogdoches County, Texas	C	Royalty	M	W					
58. Vallence Operating Co., Panola County, Texas	C	Royalty	M	W					
59. Minerals (AETHON) Nacogdoches County, Texas	D	Royalty	J	W					
60. Minerals (Patara & Gulf Coast) Shelby County, Texas	A	Royalty	J	W					
61. Minerals (Noble & Hyperion) Nacogdoches County, Texas	B	Royalty	K	W					
62. Minerals (XTO) Nacogdoches County, Texas	A	Royalty	J	W					
63. Minerals (Delta Petroleum) Newton County, Texas		None	J	W					
64. Texas State Bond 5% Due 10/1/22	A	Interest	M	T					
65. Brookston Energy, Shelby County See Part VIII	A	Royalty	J	W					
66. Massachusetts Bond	C	Interest	L	T					
67. Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
68. Apple Common Stock	B	Dividend	M	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
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69. Walt Disney Common Stock	A	Dividend	L	T					
70. Arkansas St. Bond	B	Interest	L	T					
71. Stifel Bank & Trust - cash account	A	Interest	M	T					
72. American Express Centurion Bank - cash account	A	Interest	M	T					
73. The Bank of East Asia - cash account	A	Interest			Closed	09/30/17	J		
74. Minerals (British Petroleum) Panola County, Texas See Part VIII	B	Royalty	J	W					
75. Minerals (Memorial Production) Panola County, Texas See Part VIII		None			Sold				AETHON

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

In response to Part VII #11C, I have reported the aggregate cash surrender value for the whole life policies. In response to Part VII #11B, I have shown the aggregate amount of the dividends on those policies, which are used to pay the premiums and increase the cash surrender value.

Part VII#65 - Brookston Energy apparently acquired from another

Part VII#74 - Amount code changed to B instead of A in column B(1)

Part VII#75 - Sold to AETHON-sale date and value code unknown

I am married to Circuit Judge Thomas M. Reavley.

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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/ CAROLYN D. KING**

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