

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/09/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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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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. 2016

County of Albemarle - Salary

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Wells Fargo Bank Accounts	A	Int./Div.	K	T					
3. University of Virginia Community Credit Union Bank Accounts	A	Int./Div.	K	T					
4.									
5. IRA #1									
6. Cambiar Opp Fd	A	Dividend			Sold	09/02/16	J	A	
7. Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
8.					Sold (part)	09/27/16	J	A	
9.					Sold (part)	12/12/16	J	A	
10. Touchstone Large Cap Growth Fd CL I	A	Dividend	J	T					
11. Wells Fargo Fds Tr Emerging Growth Fd Instlt CL	A	Dividend	J	T	Sold (part)	12/12/16	J	A	
12. Delaware Grp Equit Fds II Value fd Inst CL	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
13.					Sold (part)	09/27/16	J	A	
14.					Sold (part)	12/12/16	J	A	
15. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
16.					Sold (part)	12/12/16	J	A	
17. Harbor Int'l Instlt CL	A	Dividend	J	T	Sold (part)	09/02/16	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 H = \$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 - \$500,000.000	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 \$5,000,000.000	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 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.					Sold (part)	09/27/16	J	A	
19.					Sold (part)	12/12/16	J	A	
20. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
21.					Sold (part)	09/27/16	J	A	
22.					Sold (part)	12/12/16	J	A	
23. Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend	J	T					
24. Pimco Fds PAC Int Mgmt Ser Comm Real Ret Strdt Fd Instl CL	A	Dividend	J	T					
25. Blair William FDS Intl Growth Fd CL 1	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
26.					Sold (part)	09/27/16	J	A	
27.					Sold (part)	12/12/16	J	A	
28. Dreyfus Appreciation FD Inc	A	Dividend	J	T					
29. Managers AMG Fds Timessquare Mid Cap Grwth Fd	A	Dividend	J	T	Sold (part)	12/12/16	J	A	
30. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T					
31. First Eagle Fds Sogen Overseas Fd CL 1	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
32.					Sold (part)	09/27/16	J	A	
33.					Sold (part)	12/12/16	J	A	
34. Eagle Sm Cap Grwth Fd CL 1	A	Dividend	J	T	Sold (part)	12/12/16	J	A	

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. Invesco Global Real Estate Y	A	Dividend	J	T	Sold (part)	09/27/16	J	A	
36.					Sold (part)	12/12/16	J	A	
37. Lazard Fds Inc Emerging Mkts Instl shs	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
38.					Sold (part)	09/27/16	J	A	
39.					Sold (part)	12/12/16	J	A	
40. Victory Portfolios Small Co Opp Fd C1 1 shs	A	Dividend	J	T					
41. Victory Sycamore Small Co Oppty Fd C1 1	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
42.					Sold (part)	09/27/16	J	A	
43.					Sold (part)	12/13/16	J	A	
44. GS TR Finl Sq Treas Instrs Fd Instl C1	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
45.					Buy (add'l)	09/06/16	J		
46.					Sold (part)	10/14/16	J	A	
47. Guggenheim Fds Tr Mid Cap Value Ser C1 A	A	Dividend	J	T					
48. Mainstay Large Cap Growth Fd	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
49.					Sold (part)	09/27/16	J	A	
50.					Sold (part)	12/12/16	J	A	
51. Voya Ser Fd Inc Large Cap Grwth Fd	A	Dividend	J	T	Sold (part)	09/27/16	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	

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	(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)
52.					Sold (part)	12/12/16	J	A	
53. American Fds Washington Mt FD F2	A	Int./Div.	J	T	Buy (add'l)	09/02/16	J		
54.					Sold (part)	09/27/16	J	A	
55.					Sold (part)	12/12/16	J	A	
56. Deutsche Secs Tr Enhanced Comm Strat Fd Instl C1	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
57.					Sold (part)	09/27/16	J	A	
58.					Sold (part)	12/12/16	J	A	
59. Wells Fargo FDS TR Core Bond Fund Class Inst	A	Dividend	J	T	Buy	09/02/16	J		
60.					Sold (part)	09/27/16	J	A	
61.					Sold (part)	12/12/16	J	A	
62. MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend	J	T	Buy	09/02/16	J		
63.					Sold (part)	12/12/16	J	A	
64. Eaton Vance Ser II Income Fd Boston C1 I	A	Dividend	J	T	Buy	09/02/16	J		
65.					Sold (part)	12/12/16	J	A	
66.									
67. IRA #2									
68. GS Tr Finl Sq Treas Instrs Fd Instl C1	A	Dividend	J	T	Sold (part)	07/08/16	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	

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69.					Buy (add'l)	09/02/16	J		
70.					Buy (add'l)	09/06/16	J		
71.					Sold (part)	10/14/16	J	A	
72. Managers Times Sq M/C GRW-PR	A	Dividend	J	T					
73. John Hancock Classic Value Fd CL 1	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
74. Harbor Int'l Inst'l CL	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
75. Hotchkis & Wiley Fds Mid Cap Value Fd CL 1	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
76. Blair Williams Fds Intl Growth Fd CL 1	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
77. PIMCO Fds PAC Inv't Mgmt Ser-Comm	A	Dividend	J	T					
78. Dreyfus Appreciation Fd Inc	A	Dividend	J	T					
79. Morgan Stanley Inst'l Fd Trust Mid Cap Grwth Port CL 1	A	Dividend	J	T					
80. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
81. Wells Fargo Fds TR Emerging Grwth Fd	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
82. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T					
83. Mainstay Large Cap Grwth Fd	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
84. Cambiar Opp Fd	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
85. Eagle Sm Cap Grwth Fd CL 1	A	Dividend	J	T	Buy (add'l)	09/02/16	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 H ~\$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 - \$500,000,000	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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86. Delaware Grp Equi Fds II-Value Fd Instl Cl	A	Dividend	J	T	Buy (add'l)	09/02/16	J		
87. First Eagle Fds Sogen Overseas Fd CL 1	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
88. Invesco Global Real Estate Y	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
89. Victory Portfolios Sm Co. Opp. Fd. CL 1	A	Dividend	J	T					
90. Victory Sycamore Sm Co. Oppty FD CL 1	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
91. Lazard Fds Emerging Mkts Port Instl SHS	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
92. Guggenheim Fds Tr Mid Cap Value Ser	A	Dividend	J	T					
93. Voya Ser Fd Inc Large Cap Grwth Fd	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
94. American Fds Washington Mut Fd F2	A	Int./Div.	J	T	Buy (add'l)	09/02/16	J		
95. Deutsche Secs TR Enhanced Comm Strat Fd Inst'l CL	A	Dividend	J	T	Sold (part)	09/02/16	J	A	
96. Wells Fargo Fds TR Core Bond Fund Class Inst	A	Dividend	J	T	Buy	09/02/16	J		
97. MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend	J	T	Buy	09/02/16	J		
98. Eaton Vance Ser II Income Fund Boston Cl I	A	Dividend	J	T	Buy	09/02/16	J		
99.									
100.									
101.									
102.									

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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103.									
104.									
105.									
106.									
107.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ellis III, Thomas S.

Date of Report

08/09/2017

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