

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/08/2019
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 01/01/2018 to 12/31/2018
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. 2018

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.)*

	<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. Sensor		None	J	T					
2. University of Virginia Community Credit Union Bank Accounts	A	Int./Div.	K	T					
3.									
4. IRA #1									
5. Hotchkiss & Wiley Mid Cap Value I	A	Dividend			Sold	06/11/18	J	B	
6. Touchstone Large Cap Growth Fd CL I	A	Dividend			Sold	04/13/18	J	A	
7. Wells Fargo Fds Tr Emerging Growth Fd Instit CL	A	Dividend			Sold	06/11/18	J	B	
8. Delaware Grp Equit Fds II Value fd Inst CL	A	Dividend			Sold	04/13/18	J	A	
9. John Hancock Classic Value Fd CL I	A	Dividend			Sold	06/11/18	J	B	
10. Harbor Int'l Instl CL	A	Dividend			Sold	08/15/18	J	B	
11. Harbor Cap Appreciation Instl CL	A	Dividend	J	T	Buy	06/11/18	J		
12.					Sold (part)	09/25/18	J	A	
13. Oppenheimer Dev Mkts CL Y	A	Dividend			Sold	06/11/18	J	B	
14. Oppenheimer Intl Grw Fd CL Y	A	Dividend	J	T	Buy	06/11/18	J		
15. Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend			Sold	04/13/18	J	A	
16. Pimco Fds PAC Int Mgmt Ser Comm Real Ret Strdt Fd Instl CL	A	Dividend			Sold	04/13/18	J	A	
17. Blair William FDS Intl Growth Fd CL I	A	Dividend			Sold	06/11/18	J	B	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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. Dreyfus Appreciation FD Inc	A	Dividend			Sold	01/12/18	J	A	
19. Managers AMG Fds Timessquare Mid Cap Grwth Fd	A	Dividend			Sold	06/11/18	J	B	
20. Keeley Fds Sm Cap Value Fd	A	Dividend			Sold	01/12/18	J	A	
21. First Eagle Fds Sogen Overseas Fd CL 1	A	Dividend			Sold	06/11/18	J	B	
22. Carillon Eagle Sm Cap Grwth Fd CL 1	A	Dividend			Sold	01/12/18	J	A	
23. Invesco Global Real Estate Y	A	Dividend			Sold	01/12/18	J	A	
24. Lazard Fds Inc Emerging Mkts Instl shs	A	Dividend	J	T	Sold (part)	06/11/18	J	A	
25.					Buy (add'l)	08/16/18	J		
26. Victory Portfolios Small Co Opp Fd C1 1 shs	A	Dividend			Sold	06/11/18	J	A	
27. Victory Sycamore Small Co Oppty Fd C1 1	A	Dividend	J	T	Sold (part)	06/11/18	J	A	
28. GS TR Finl Sq Treas Instrs Fd Instl C1	A	Dividend	J	T	Buy (add'l)	06/12/18	J		
29.					Sold (part)	07/13/18	J	A	
30.					Sold (part)	10/12/18	J	A	
31. Guggenheim Fds Tr Mid Cap Value Ser C1 A	A	Dividend			Sold	01/12/18	J	A	
32. Mainstay Large Cap Growth Fd	A	Dividend			Sold	06/11/18	J	B	
33. Voya Ser Fd Inc Large Cap Grwth Fd	A	Dividend			Sold	06/11/18	J	A	
34. American Fds Washington Mt FD F2	A	Dividend	J	T	Sold (part)	06/11/18	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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35.					Sold (part)	09/25/18	J	A	
36. Deutsche Secs Tr Enhanced Comm Strat Fd Instl Cl	A	Dividend	J	T	Buy (add'l)	06/11/18	J		
37. Wells Fargo FDS TR Core Bond Fund Class Inst	A	Dividend	J	T	Sold (part)	06/11/18	J	A	
38. MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend	J	T	Buy (add'l)	06/11/18	J		
39. Eaton Vance Ser II Income Fd Boston Cl I	A	Dividend	J	T	Buy (add'l)	06/11/18	J		
40. MFS Ser TR 1 Value Fd Cl I	A	Dividend	J	T	Buy (add'l)	06/11/18	J		
41.					Sold (part)	09/25/18	J	A	
42. T Rowe Price Real Es Fund Inc	A	Dividend	J	T					
43. Principal Fds Inc Global Real Estate Secs Fund Instl Class	A	Dividend	J	T					
44. Carillon Ser TR Eagle Sm Cap Growth Fd CL I	A	Dividend	J	T	Buy	01/12/18	J		
45.					Sold (part)	06/11/18	J	A	
46. Baron Invt Fds Tru Sm Cap Fd Instl CL I	A	Dividend	J	T	Buy	06/11/18	J		
47.					Sold (part)	09/25/18	J	A	
48. Virtus Asset Tr Ceredex Mid Cap Value Equity Fd CL I	A	Dividend	J	T	Buy	06/11/18	J		
49.					Sold (part)	09/25/18	J	A	
50. Janus Henderson Fd Flexible BD FD CL I	A	Dividend	J	T	Buy	06/11/18	J		
51.					Buy (add'l)	06/12/18	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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52. Virtus Fds Virtus Vontobel Emg Mkts Opp Fd CL 1	A	Dividend	J	T	Buy	06/11/18	J		
53. T Rowe Price Intl Fd Overseas Stk Fd	A	Dividend	J	T	Buy	08/15/18	J		
54. Edgewood Fds Growth Fd Instl Cl	A	Dividend	J	T	Buy	06/12/18	J		
55.					Sold (part)	09/26/18	J	A	
56. T Rowe Price Mid-Cap Growth Fd Inc	A	Dividend	J	T	Buy	06/11/18	J		
57.					Sold (part)	09/25/18	J	A	
58. American Fds Europacific Growth Fd CL F2	A	Dividend	J	T	Buy	06/11/18	J		
59. DWS Enhanced Commodi Strategy Fd Inst	A	Dividend	J	T	Buy	01/12/18	J		
60.									
61. IRA #2									
62. GS Tr Finl Sq Treas Instrs Fd Instl Cl	B	Dividend	J	T	Sold (part)	01/12/18	J	A	
63.					Sold (part)	04/13/18	J	A	
64.					Sold (part)	07/13/18	J	A	
65.					Sold (part)	10/12/18	J	A	
66. Managers Times Sq M/C GRW-PR	A	Dividend	J	T					
67. John Hancock Classic Value Fd CL 1	A	Dividend	J	T					
68. Harbor Int'l Inst'l CL	A	Dividend	J	T	Sold (part)	08/15/18	J	D	

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69. Hotchkis & Wiley Fds Mid Cap Value Fd CL 1	A	Dividend	J	T					
70. Blair Williams Fds Intl Growth Fd CL 1	A	Dividend	J	T					
71. PIMCO Fds PAC Invt Mgmt Ser-Comm	A	Dividend	J	T					
72. Dreyfus Appreciation Fd Inc	A	Dividend	J	T					
73. Morgan Stanley Instl Fd Trust Mid Cap Grwth Port CL 1	A	Dividend	J	T					
74. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T					
75. Wells Fargo Fds TR Emerging Grwth Fd	A	Dividend	J	T					
76. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T					
77. Mainstay Large Cap Grwth Fd	A	Dividend	J	T					
78. Cambiar Opp Fd	A	Dividend	J	T					
79. Carillon Eagle Sm Cap Grwth Fd CL 1	A	Dividend	J	T					
80. Delaware Grp Equi Fds II-Value Fd Instl Cl	A	Dividend	J	T					
81. First Eagle Fds Sogen Overseas Fd CL 1	A	Dividend			Sold	08/15/18	J	D	
82. Invesco Global Real Estate Y	A	Dividend	J	T					
83. Victory Portfolios Sm Co. Opp. Fd. CL 1	A	Dividend			Sold	01/12/18	J	A	
84. Victory Sycamore Sm Co. Oppty FD CL 1	A	Dividend	J	T					
85. Lazard Fds Emerging Mkts Port Instl SHS	A	Dividend	J	T	Buy (add'l)	08/16/18	J		

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86. Guggenheim Fds Tr Mid Cap Value Ser	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					
89. Deutsche Secs TR Enhanced Comm Strat Fd Inst'l CL	A	Dividend	J	T					
90. Wells Fargo Fds TR Core Bond Fund Class Inst	A	Dividend	J	T					
91. MFS Ser TR X Emerging Mkts Debt Fd Class I	A	Dividend	J	T					
92. Eaton Vance Ser II Income Fund Boston Cl I	A	Dividend	J	T					
93. T Rowe Price Real Estate Fd Inc	A	Dividend	J	T					
94. Principal Funds Inc Global Real Estate Secs Fd Inst'l Cl	A	Dividend	J	T					
95. Eaton Vance Ser II Income Fd Boston Cl I	A	Dividend			Sold	01/12/18	J	A	
96. MFS Ser TR 1 Value Fd Cl I	A	Dividend	J	T					
97. DWS Enhanced Commodity Strategy Fd Inst	A	Dividend	J	T	Buy	08/16/18	J		
98. T Rowe Price Intl Fd Overseas Stk Fd	B	Dividend	J	T	Buy	08/15/18	J		

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544