

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 06/12/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

06/12/2012

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. 2011 _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

06/12/2012

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

06/12/2012

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. Wachovia Bank Accts	A	Interest	K	T					
3. IRA #1									
4. Cambiar Opp Fd	A	Dividend	J	T	Buy (add'l)	10/19/11	J		
5. Cambiar Opp Fd	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
6. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Sold (part)	01/12/11	J	A	
7. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Buy (add'l)	09/07/11	J		
8. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Sold (part)	04/08/11	J	A	
9. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
10. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Sold (part)	10/17/11	J	A	
11. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Sold (part)	09/06/11	J	A	
12. Goldman Sachs Tr Finl Sq Mmkt I	A	Dividend	J	T	Sold (part)	07/08/11	J	A	
13. Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
14. Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
15. Legg Mason Value Trust	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
16. Legg Mason Value Trust	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
17. DWS Dremar Sm Cap Value CLS	A	Dividend	J	T	Sold (part)	05/03/11	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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18. DWS Dremam Sm Cap Value CLS	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
19. Artio Int'l Equity Fd CL I	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
20. Artio Int'l Equity Fd CL I	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
21. Security EQ Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	05/03/11	J	B	
22. T Rowe Price Mid Cap Growth Fd	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
23. T Rowe Price Mid Cap Growth Fd	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
24. Touchstone Large Cap Growth Fd CL I	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
25. Touchstone Large Cap Growth Fd CL I	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
26. Wells Fargo Fds Tr Small Cap Growth Fd Admin CL	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
27. Delaware Grp Advisor Fds Inc US Growth Port Instl CL	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
28. Delaware Grp Advisor Fds Inc US Growth Port Instl CL	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
29. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Buy (add'l)	10/19/11	J		
30. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
31. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
32. Harbor Int'l Instl CL	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
33. Harbor Int'l Instl CL	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
34. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Sold (part)	05/03/11	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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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)
35. Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
36. Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend	J	T	Sold (part)	05/13/11	J	A	
37. Pimco Fds PAC Int Mgmt Ser Comm Real Ret Strdt Fd Instl CL	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
38. Pimco Fds PAC Int Mgmt Ser Comm Real Ret Strdt Fd Instl CL	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
39. AIM Global Rea Est Fd CL Y	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
40. Blair William FDS Intl Growth Fd CL I	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
41. Blair William FDS Intl Growth Fd CL I	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
42. Dreyfus Appreciation FD Inc	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
43. Dreyfus Appreciation FD Inc	A	Dividend	J	T	Sold (part)	10/17/11	J	A	
44. Dreyfus Appreciation FD Inc	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
45. RS Invt TR Emerging Mkts FD CL Y	A	Dividend	J	T	Buy (add'l)	10/19/11	J		
46. RS Invt TR Emerging Mkts FD CL Y	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
47. Sentinel Mut. Fds Small Co CL I	A	Dividend	J	T	Sold (part)	05/03/11	J	A	
48. Managers AMG Fds Timessquare Mid Cap Grwth Fd	A	Dividend	J	T	Buy	10/18/11	J		
49. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T	Buy	10/18/11	J		
50. IRA #2									
51. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	10/17/11	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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Buy (add'l)	09/21/11	J		
53. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	07/08/11	J	A	
54. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	04/08/11	J	A	
55. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	01/12/11	J	A	
56. Touchstone Large Cap Grwth Fd CL I	A	Dividend	J	T	Sold (part)	09/21/11	J	A	
57. Managers Times Sq M/C GRW-PR	A	Dividend	J	T	Sold (part)	09/21/11	J	A	
58. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Buy (add'l)	09/21/11	J		
59. Harbor Int'l Inst'l CL	A	Dividend	J	T	Sold (part)	09/20/11	J	B	
60. Hotchkiss & Wiley Fds Mid Cap Value Fd CL I	A	Dividend	J	T					
61. Legg Mason Value Tr Inc Nav Value Trust	A	Dividend	J	T					
62. Security Equity Fd Mid Cap Value Ser CLA	A	Dividend	J	T					
63. Wells Fargo FDS TR Small Cap Growth Fd Adm	A	Dividend	J	T					
64. AIM Global Real Estate FD CL Y	A	Dividend	J	T					
65. Blair Williams Fds Intl Growth Fd CL I	A	Dividend	J	T	Sold (part)	09/20/11	J	A	
66. Park Ave Portfolio RS Emerging Mkts Fd CLA	A	Dividend	J	T	Buy (add'l)	09/21/11	J		
67. Artio Global Invt Fds Int'l Equity Fd II CL I	A	Dividend	J	T	Sold (part)	09/21/11	J	A	
68. PIMCO Fds PAC Invt Mgmt Ser-Comm	A	Dividend	J	T	Buy (add'l)	09/21/11	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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69. PIMCO Fds PAC Inv't Mgmt Ser-Comm	A	Dividend	J	T	Buy (add'l)	09/20/11	J		
70. Brandywine Blue Fd Inc	A	Dividend	J	T	Sold (part)	09/20/11	J	C	
71. Dreyfus Appreciation Fd Inc	A	Dividend	J	T	Sold (part)	09/21/11	J	A	
72. DWS Value Ser Inc Small Cap Value Fd CL S	A	Dividend	J	T	Buy (add'l)	09/21/11	J		
73. DWS Value Ser Inc Small Cap Value Fd CL S	A	Dividend	J	T	Sold (part)	09/20/11	J	C	
74. Morgan Stanley Instl Fd Trust Mid Cap Grwth Port CL I	A	Dividend	J	T	Sold (part)	09/21/11	J	A	
75. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Buy (add'l)	09/21/11	J		
76. Sentinel Mut Fds Small Co CL I	A	Dividend	J	T	Buy (add'l)	07/08/11	J		
77. Wells Fargo Fds TR Emerging Grwth Fd	A	Dividend	J	T	Buy	09/20/11	J		
78. Wells Fargo Fds TR Emerging Grwth Fd	A	Dividend	J	T	Sold (part)	09/21/11	J	A	
79. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T	Buy	09/20/11	J		
80. Mainstay Large Cap Grwth Fd	A	Dividend	J	T	Buy	09/20/11	J		
81. Cambiar Opp Fd	A	Dividend	J	T	Buy	01/12/11	J		
82. Cambiar Opp Fd	A	Dividend	J	T	Sold (part)	09/20/11	J	A	
83.									
84.									
85.									

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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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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86.									
87.									
88.									
89.									
90.									
91.									
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93.									
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95.									

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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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

06/12/2012

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

06/12/2012

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