AO 10
Rev. 1/2018

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) KING, CAROLYN D.	**2. Court or Organization** U.S. COURT OF APPEALS 5TH CIR.	**3. Date of Report** 05/02/2019
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** 01/01/2018 to 12/31/2018

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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
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 (resigned on May 30, 2018)	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.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	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.)*

DATE	SOURCE AND TYPE
1. 2018	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Law Institute	10/18/2018 to 10/19/2018	New York, NY	Attend council meeting	Reimbursement of lodging, meals, transportation and airfare
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
KING, CAROLYN D.	05/02/2019

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.			

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. BBVA Compass Bank Houston, TX (Money Market)	A	Interest	N	T					
2. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	B	Dividend	L	T					
3. General Electric Co. Common Stock	A	Dividend	K	T					
4. IBM Common Stock	B	Dividend	K	T					
5. Exxon Mobil Corp. Common Stock	C	Dividend	L	T					
6. BBVA Compass Bank Checking Account		None	K	T					
7. T. Rowe Price Small Cap Value Fund	B	Distribution	N	T					
8.		Dividend							
9. T. Rowe Price New Era Fund	B	Distribution	L	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	A	Interest			Redeemed	02/01/18	L		Issuer
17. Northwestern Mutual Insurance Service Account	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT Page 5 of 11	**Name of Person Reporting** **KING, CAROLYN D.**	**Date of Report** 05/02/2019

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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	B	Interest			Redeemed	07/02/18	L		Issuer
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	B	Interest			Redeemed	02/15/18	L		Issuer
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: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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Place "(X)" after each asset exempt from prior disclosure	(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			Closed	04/30/18	J		
36. Dreyfus Appreciation Fund (401(k))	E	Int./Div.	M	T	Sold (part)	12/03/18	K		
37. Fidelity Contra Fund (401(k))		None	N	T	Sold (part)	12/03/18	L		
38. Vanguard Prime MM (401(k))	A	Int./Div.	J	T	Sold (part)	12/03/18	J		
39. FIAM Index TD 2005 U (401(k))		None			Closed	04/23/18	J		
40. Vanguard High Dividend Yield ETF	C	Dividend	M	T					
41. Harris County TX Met Tran Bond 5% Due 11/1/26	C	Interest	M	T					
42. Oklahoma Dev Fin Auth Bond 5% Due 6/1/22	C	Interest	M	T					
43. Comwlth Fing Auth PA Bond 5% Due 6/1/25	C	Interest	M	T					
44. Lumberton TX Mud Util Sys Rev Bond 5% Due 8/15/20	B	Interest	M	T	Buy	05/07/18	M		
45. Galveston County TX Mud 44 Bond 5% Due 9/1/23	B	Interest	M	T	Buy	05/07/18	M		
46. College Station TX Indpt Sch Dist Bond 5% Due 8/15/25	B	Interest	M	T	Buy	05/11/18	M		
47. Connecticut ST ETC Ser E 5% Due 10/15/26	A	Interest	M	T	Buy	11/05/18	M		
48. Pennsylvania ST RFDG 2nd Ser B/E 5% Due 1/15/28	A	Interest	M	T	Buy	11/05/18	M		
49. Stifel Bank - cash account	A	Interest	L	T	Open	12/31/18	L		
50. American Express National Bank - cash account	A	Interest			Open	04/30/18	M		
51.					Closed	12/31/18	J		

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	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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52. Bank of Baroda - cash account	A	Interest			Open	02/28/18	M		
53.					Closed	12/31/18	J		
54. FIAM Index TD 2005 V (401(k))		None			Buy	04/23/18	J		
55.					Closed	10/26/18	J		
56. FIAM Index TD 2005 S (401(k))		None	J	T	Buy	10/26/18	J		
57. SPOUSE HOLDINGS LISTED BELOW:									
58. Compass Bank (Houston)		None	N	T					
59. Royalty (Hendrix) Pecos County, Texas	A	Royalty	J	W					
60. Minerals (Rock Cliff Energy formerly Samson) Nacogdoches County, Texas	D	Royalty	L	W					
61. Minerals (Apache) Nacogdoches County, Texas		None	J	W					
62. Chase Bank (Houston)	A	Interest	J	T					
63. Minerals (Chesapeake) Nacogdoches County, Texas		None	J	W					
64. Fee Land, Llano County, Texas		None	K	W					
65. Prudential Insurance Company - Whole Life Policy	A	Int./Div.	J	T					
66. Minerals (Indigo), Nacogdoches County, Texas	C	Royalty	M	W					
67. Vallence Operating Co., Panola County, Texas	C	Royalty	M	W					
68. Minerals (AETHON) Nacogdoches County, Texas	B	Royalty	J	W					

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(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	
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69. Minerals (Patara & Gulf Coast) Shelby County,Texas	A	Royalty	J	W					
70. Minerals Nacogdoches County, Texas		None	J	W					
71. Minerals (XTO) Nacogdoches County, Texas		None	J	W					
72. Minerals (Delta Petroleum) Newton County, Texas		None	J	W					
73. Texas State Bond 5% Due 10/1/22	A	Interest	M	T					
74. Brookston Energy, Shelby County, Texas	A	Royalty	J	W					
75. Massachusetts Bond	C	Interest	L	T					
76. Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
77. Apple Common Stock	B	Dividend	L	T					
78. Walt Disney Common Stock	A	Dividend	L	T					
79. Arkansas St. Bond	B	Interest	L	T					
80. Stifel Bank & Trust - cash account	A	Interest	M	T					
81. American Express Centurion Bank - cash account	A	Interest			Closed	04/30/18	J		
82. Minerals (British Petroleum) Panola County, Texas	B	Royalty	J	W					
83. Minerals (Amplify Energy formerly Memorial Production) Panola Cty TX	A	Royalty	J	W					
84. Minerals (CDR) Shelby County, Texas	A	Royalty	J	W					
85. Minerals (CCI Gulf Coast), Nacogdoches County, Texas	A	Royalty	J	W					

1. Income Gain Codes: (See Columns B1 and D4)	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
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	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	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
KING, CAROLYN D.	05/02/2019

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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86. Bank of Baroda - cash account	A	Interest	M	T	Open	01/30/18	M		
87. Stifel Bank - cash account	A	Interest	M	T	Open	12/31/18	M		
88. American Express National Bank- cash account	A	Interest			Open	04/30/18	M		
89.					Closed	12/31/18	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
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	

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#60 - Rock Cliff Energy formerly Samson

Part VII#70 - This year no royalty was received

Part VII#71 - This year no royalty was received.

Part VII #83 - Amplify Energy formerly Memorial Production

Part VII #84-85 - Judge Reavley believes that these last two royalty interests are only name changes from assets previously listed in the annual reports; they are not newly acquire in 2018; however, Judge Reavley does not have the information necessary to be able to correlate these interests to previously reported mineral operator names that generated income in 2018.

I am married to Circuit Judge Thomas M. Reavley.

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