AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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)	2. Court or Organization	3. Date of Report
Ellis III, Thomas S.	U.S. District Court, E.D. Va.	05/12/2013

4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
Senior U.S. District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012

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.		

Name of Person Reporting	Date of Report
Ellis III, Thomas S.	05/12/2013

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.			
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.	2012	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Ellis III, Thomas S.	05/12/2013

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.			

Name of Person Reporting	Date of Report
Ellis III, Thomas S.	05/12/2013

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.	Sensor		None	J	T					
2.	Wachovia Bank Accts	A	Interest	K	T					
3.	IRA #1									
4.	Cambiar Opp Fd	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
5.	Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Buy (add'l)	08/28/12	J		
6.						Sold (part)	10/12/12	J	A	
7.						Sold (part)	07/13/12	J	A	
8.						Sold (part)	04/13/12	J	A	
9.						Sold (part)	01/12/12	J	A	
10.	Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
11.	Legg Mason Value Trust		None	J	T	Sold (part)	01/23/12	J	A	
12.	DWS Dreman Sm Cap Value CLS	A	Dividend	J	T	Sold (part)	10/01/12	J	A	
13.						Sold (part)	08/28/12	J	A	
14.	Artio Int'l Equity Fd CL I		None	J	T	Sold (part)	08/28/12	J	A	
15.						Sold (part)	08/31/12	J	A	
16.	Security EQ Fd Mid Cap Value Ser CLA		None	J	T	Sold (part)	10/02/12	J	A	
17.						Sold (part)	12/10/12	J	A	

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		

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Ellis III, Thomas S.	05/12/2013

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. T Rowe Price Mid Cap Growth Fd		None			Sold	08/28/12	J	A	
19. Touchstone Large Cap Growth Fd CL I	A	Dividend	J	T	Sold (part)	10/01/12	J	A	
20. Wells Fargo Fds Tr Small Cap Growth Fd Admin CL		None			Sold	08/28/12	J	A	
21. Wells Fargo Fds Tr Emerging Growth Fd Instit CL	A	Dividend	J	T	Buy	08/28/12	J		
22.					Sold (part)	10/01/12	J	A	
23.					Sold (part)	12/11/12	J	A	
24. Delaware Grp Advisor Fds Inc US Growth Port Instl CL	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
25.					Sold (part)	10/01/12	J	A	
26. Delaware Grp Equit Fds II Value fd Inst CL	A	Dividend	J	T	Buy	01/24/12	J		
27.					Buy (add'l)	08/28/12	J		
28.					Sold (part)	10/01/12	J	A	
29. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
30.					Sold (part)	10/01/12	J	A	
31. Harbor Int'l Instl CL	A	Dividend	J	T	Sold (part)	10/01/12	J	A	
32. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Buy (add'l)	08/28/12	J		
33.					Sold (part)	10/01/12	J	A	
34. Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend	J	T	Buy (add'l)	08/28/12	J		

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	
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35.					Sold (part)	10/01/12	J	A	
36. Pimco Fds PAC Int Mgmt Ser Comm Real Ret Strdt Fd Instl CL	A	Dividend	J	T	Buy (add'l)	08/28/12	J		
37.					Sold (part)	10/01/12	J	A	
38. AIM Global Rea Est Fd Cl Y	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
39. Blair William FDS Intl Growth Fd CL I	A	Dividend	J	T	Sold (part)	10/01/12	J	A	
40. Dreyfus Appreciation FD Inc	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
41.					Sold (part)	10/01/12	J	A	
42. RS Invt TR Emerging Mkts FD CL Y	A	Dividend	J	T	Buy (add'l)	08/28/12	J		
43.					Sold (part)	10/01/12	J	A	
44. Sentinel Mut. Fds Small Co CL I		None	J	T	Sold (part)	08/28/12	J	A	
45.					Sold (part)	08/30/12	J	A	
46. Managers AMG Fds Timessquare Mid Cap Grwth Fd		None	J	T	Sold (part)	08/28/12	J	A	
47.					Sold (part)	10/01/12	J	A	
48. Keeley Fds Sm Cap Value Fd		None	J	T	Sold (part)	08/28/12	J	A	
49.					Sold (part)	10/01/12	J	A	
50. First Eagle Fds Sogen Overseas Fd CL I	A	Dividend	J	T	Buy	08/28/12	J		
51.					Buy (add'l)	08/31/12	J		

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	
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52.					Sold (part)	10/01/12	J	A	
53. Eagle Sm Cap Grwth Fd CL I	A	Dividend	J	T	Buy	08/28/12	J		
54.					Sold (part)	10/01/12	J	A	
55. Invesco Global Real Estate Y	A	Dividend	J	T	Buy	08/28/12	J		
56.					Sold (part)	10/01/12	J	A	
57. IRA #2									
58. GS Finl Sq Mmkt Inst'l		None	J	T	Sold (part)	01/12/12	J	A	
59.					Sold (part)	04/13/12	J	A	
60.					Sold (part)	07/13/12	J	A	
61.					Sold (part)	08/27/12	J	A	
62.					Sold (part)	10/12/12	J	A	
63.					Buy (add'l)	08/27/12	J		
64. Touchstone Large Cap Grwth Fd CL I	A	Dividend	J	T	Buy (add'l)	08/27/12	J		
65. Managers Times Sq M/C GRW-PR	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
66. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
67. Harbor Int'l Inst'l CL	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
68. Hotchkiss & Wiley Fds Mid Cap Value Fd CL I	A	Dividend	J	T	Sold (part)	08/27/12	J	A	

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
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69. Legg Mason Value Tr Inc Nav Value Trust		None	J	T	Sold (part)	01/23/12	J	A	
70. Security Equity Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
71. Wells Fargo FDS TR Small Cap Growth Fd Adm		None	J	T					
72. AIM Global Real Estate FD CL Y	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
73. Blair Williams Fds Intl Growth Fd CL I	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
74. RS Invst Tr Park Ave Portfolio RS Emerging Mkts Fd CLA	A	Dividend	J	T	Buy (add'l)	08/27/12	J		
75. Artio Global Invt Fds Int'l Equity Fd II CL I		None	J	T	Sold (part)	08/27/12	J	A	
76.					Sold (part)	08/29/12	J	A	
77. PIMCO Fds PAC Invt Mgmt Ser-Comm	A	Dividend	J	T	Buy	01/24/12	J		
78.					Buy (add'l)	08/27/12	J		
79. Brandywine Blue Fd Inc		None	J	T					
80. Dreyfus Appreciation Fd Inc	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
81. DWS Value Ser Inc Small Cap Value Fd CL S	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
82. Morgan Stanley Instl Fd Trust Mid Cap Grwth Port CL I	A	Dividend	J	T	Buy (add'l)	08/27/12	J		
83. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Buy (add'l)	08/27/12	J		
84. Sentinel Mut Fds Small Co CL I	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
85.					Sold (part)	08/29/12	J	A	

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	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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)
86. Wells Fargo Fds TR Emerging Grwth Fd	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
87. Keeley Fds Sm Cap Value Fd		None	J	T	Sold (part)	08/27/12	J	A	
88. Mainstay Large Cap Grwth Fd	A	Dividend	J	T	Sold (part)	08/27/12	J	A	
89. Cambiar Opp Fd	A	Dividend	J	T					
90. Eagle Sm Cap Grwth Fd CL I	A	Dividend	J	T	Buy	08/27/12	J		
91. Delaware Grp Equi Fds II-Value Fd Instl Cl	A	Dividend	J	T	Buy	01/24/12	J		
92.					Buy (add'l)	08/27/12	J		
93.					Buy (add'l)	08/30/12	J		
94. First Eagle Fds Sogen Overseas Fd CL I	A	Dividend	J	T	Buy	08/27/12	J		
95. Invesco Global Real Estate Y	A	Dividend	J	T	Buy	01/24/12	J		
96.									
97.									
98.									
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
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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103.									
104.									
105.									
106.									
107.									
108.									
109.									
110.									
111.									
112.									
113.									
114.									
115.									
116.									
117.									
118.									

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		

Name of Person Reporting	Date of Report
Ellis III, Thomas S.	05/12/2013

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

Name of Person Reporting	Date of Report
Ellis III, Thomas S.	05/12/2013

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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