AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
KING, CAROLYN D.	U.S. COURT OF APPEALS 5TH CIR.	05/16/2022
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**
U.S. CIRCUIT JUDGE - SENIOR STATUS	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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	UNIVERSITY OF SAINT THOMAS
3.	MEMBER OF PRESIDENT'S BOARD OF ADVISORS	UNIVERSITY OF SAINT THOMAS
4.	EMERITUS MEMBER BOARD OF TRUSTEES	BAYLOR COLLEGE OF MEDICINE
5.	MEMBER BOARD OF DIRECTORS	THE MENNINGER CLINIC

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
KING, CAROLYN D.	05/16/2022

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.	2021	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.		
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
KING, CAROLYN D.	05/16/2022

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
KING, CAROLYN D.	05/16/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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. PNC Bank, [redacted] (formerly BBVA Compass Bank Money Market)		None			Closed	11/03/21	O		
2. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	C	Dividend	M	T					
3. General Electric Co. Common Stock	A	Dividend			Sold	05/19/21	L	A	
4. IBM Common Stock	B	Dividend	K	T					
5. Exxon Mobil Corp. Common Stock	B	Dividend			Sold	05/19/21	L	D	
6. PNC Bank, [redacted] (formerly BBVA Compass Bank Checking Account)	A	Interest	K	T					
7. T. Rowe Price Small Cap Value Fund	E	Dividend	N	T	Sold (part)	05/19/21	M	F	
8. T. Rowe Price New Era Fund		None			Sold	05/19/21	M	E	
9. Northwestern Mutual Whole Life Policy (see part VIII)	E	Dividend	O	V					
10. Abbott Labs Common Stock	B	Dividend	M	T					
11. Illinois Tool Works Inc Common Stock	E	Dividend	P1	T					
12. Procter & Gamble Common Stock	D	Dividend	M	T					
13. Northwestern Mutual Variable Annuity Policy [redacted] Annuitant) (H)									
14. -- US Equity - Large Cap		None	L	T					
15. -- US Equity - Mid Cap		None	K	T					
16. -- US Equity - Small Cap		None	J	T					
17. -- Int'l Developed Mkts		None	K	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

Name of Person Reporting	Date of Report
KING, CAROLYN D.	05/16/2022

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		B	C		D				
Description of Assets (including trust assets)		Income during reporting period	Gross value at end of reporting period		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.	-- Int'l Emerging Mkts		None	J	T					
19.	-- Fixed Income		None	L	T					
20.	-- Cash/Cash Alternatives		None	J	T					
21.	Northwestern Mutual Insurance Whole Life Policy [redacted])(see part VIII)	A	Dividend	L	V					
22.	Glaxosmithkline PLC	A	Dividend			Sold	05/19/21	K	A	
23.	Chevron Corp.	B	Dividend			Sold	05/19/21	L	E	
24.	Royal Dutch Shell	A	Dividend			Sold	05/19/21	K	A	
25.	Massachusetts GO 5.25% Bonds Due 8/1/2021	C	Interest			Redeemed	08/02/21	L	A	
26.	Caterpillar Common Stock	C	Dividend	M	T					
27.	Abbvie, Inc. Common Stock	D	Dividend	M	T					
28.	Home Depot Common Stock	C	Dividend	M	T					
29.	Microsoft Common Stock	C	Dividend	O	T					
30.	Apple Common Stock	B	Dividend	N	T					
31.	Walt Disney Common Stock		None	K	T					
32.	Wisconsin Clean Water Bond 4% Due 6/01/23	C	Interest	M	T					
33.	Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
34.	Arkansas GO Higher Ed Bond 4% Due 6/1/24	C	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

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KING, CAROLYN D.	05/16/2022

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35. Stifel Bank & Trust - cash account	A	Interest	L	T					
36. BNYM Appreciation Fund Y (formerly Dreyfus Appreciation Fund)	D	Int./Div.	N	T	Sold (part)	12/08/21	K	E	
37. Fidelity Contra Fund (401(k))		None	O	T	Sold (part)	12/08/21	L	E	
38. Vanguard Prime MM (401(k))	A	Int./Div.			Closed	01/04/21	J		
39. Vanguard High Dividend Yield ETF	B	Dividend			Sold	05/19/21	M	F	
40. Harris County TX Met Tran Bond 5% Due 11/1/26	C	Interest	M	T					
41. Oklahoma Dev Fin Auth Bond 5% Due 6/1/22	C	Interest	M	T					
42. Comwlth Fing Auth PA Bond 5% Due 6/1/25	C	Interest	M	T					
43. Galveston County TX Mud 44 Bond 5% Due 9/1/23	C	Interest	M	T					
44. College Station TX Indpt Sch Dist Bond 5% Due 8/15/25	C	Interest	M	T					
45. Connecticut ST ETC Ser E 5% Due 10/15/26	C	Interest	M	T					
46. Pennsylvania ST RFDG 2nd Ser B/E 5% Due 1/15/28	C	Interest	M	T					
47. Stifel Bank - cash account	A	Interest	J	T					
48. FIAM Index TD 2005 S (401(k))		None	J	T	Sold (part)	12/08/21	J	A	
49. Stifel Trust Company NA	A	Interest			Closed	05/01/21	J		
50. Texas State Bond 5% Due 10/1/22 (see part VIII)		None			Merged (with line 64)				
51. Massachusetts State Bond 5.25% Due 08/01/21 (see part VIII)		None			Merged (with line 64)				

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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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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52. Texas GO Series B Bond 4% Due 4/01/24 (see part VIII)		None			Merged (with line 64)				
53. Apple Common Stock (see part VIII)		None			Merged (with line 64)				
54. Walt Disney Common Stock (see part VIII)		None			Merged (with line 64)				
55. Arkansas State Bond 4% Due 06/01/24 (see part VIII)		None			Merged (with line 64)				
56. Stifel Bank & Trust - cash account (see part VIII)		None			Merged (with line 64)				
57. JPMorgan Chase Bank	A	Interest	M	T					
58. Wells Fargo Bank NA	A	Interest			Closed	06/01/21	M		
59. Texas Capital Bank NA	A	Interest	J	T					
60. PNC Bank, [redacted] (Checking)	A	Interest	L	T	Open	09/17/21	K		
61. Frost Bank, [redacted] (Checking)	A	Interest	J	T	Open	10/26/21	J		
62. Frost Bank, [redacted] (Savings)	A	Interest	O	T	Open	11/04/21	O		
63. FIAM Inst Cash Cl F (401(k))	A	Dividend	J	T	Buy	01/04/21	J		
64. Carolyn D. King Trust (X) (see part VII)	E	Int./Div.							

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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KING, CAROLYN D.	05/16/2022

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

Part VII # 1 and # 6 were reported under the name "BBVA Compass Bank" in 2020. PNC Bank acquired BBVA Compass Bank in 2021.

Part VII # 9 is reported at cash surrender value. The income reported in column B is used to pay premiums and increase the cash surrender value.

Part VII # 21 is reported at cash surrender value. The income reported in column B is used to pay premiums and increase the cash surrender value.

Part VII #s 13-20 respresent the variable portion of [redacted] insurance policy. Income from these investments is not itemized on the statments and would be included as part of item #21.

Part VII #s 50, 51, 52, 53, 54, 55, and 56 held in estate in 2020 were transferred to the Carolyn D. King Trust created under the will of [redacted] in 2021. The income from these assets is reported elsewhere. See notes referencing Part VII item # 64.

Part VII # 64 is a trust created under the will of [redacted]. The income reported represents distributions to me as the beneficiary of the trust. The trust was not created by me, my spouse, or my children, and none of these parties have knowledge of the assets within it. I am not serving as trustee, nor are any of my children.

Name of Person Reporting	Date of Report
KING, CAROLYN D.	05/16/2022

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
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