AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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.	05/23/2023
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	01/01/2022 **to** 12/31/2022
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.	05/23/2023

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.	2022	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.	05/23/2023

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.	05/23/2023

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. J.P. Morgan Chase Common Stock	C	Dividend	L	T					
2. IBM Common Stock	B	Dividend	K	T					
3. PNC Bank, [redacted]		None			Closed	02/16/22	K		
4. T. Rowe Price Small Cap Value Fund	D	Dividend	N	T					
5. Northwestern Mutual Whole Life Policy (see part VIII)	E	Dividend	O	V					
6. Abbott Labs Common Stock	B	Dividend	M	T					
7. Illinois Tool Works Inc Common Stock	E	Dividend	P1	T					
8. Procter & Gamble Common Stock	D	Dividend	M	T					
9. Northwestern Mutual Variable Annuity Policy ([redacted], Annuitant) (H)									
10. -- US Equity - Large Cap		None	K	T					
11. -- US Equity - Mid Cap		None	K	T					
12. -- US Equity - Small Cap		None	J	T					
13. -- Int'l Developed Mkts		None	K	T					
14. -- Int'l Emerging Mkts		None	J	T					
15. -- Fixed Income		None	L	T					
16. -- Cash/Cash Alternatives		None	J	T					
17. Northwestern Mutual Insurance Whole Life Policy ([redacted])(see part VIII)	A	Dividend	L	V					

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.	05/23/2023

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. Caterpillar Common Stock	C	Dividend	M	T					
19. Abbvie, Inc. Common Stock	D	Dividend	M	T					
20. Home Depot Common Stock	C	Dividend	M	T					
21. Microsoft Common Stock	C	Dividend	N	T					
22. Apple Common Stock	B	Dividend	N	T					
23. Walt Disney Common Stock		None	K	T					
24. Wisconsin Clean Water Bond 4% Due 6/01/23	C	Interest	M	T					
25. Texas GO Series B Bond 4% Due 4/01/24	C	Interest	M	T					
26. Arkansas GO Higher Ed Bond 4% Due 6/1/24	C	Interest	M	T					
27. Stifel Bank & Trust - cash account	A	Interest	N	T					
28. BNYM Appreciation Fund Y (401(k))	E	Int./Div.	M	T	Sold (part)	11/22/22	L	A	
29. Fidelity Contra Fund (401(k))		None	N	T	Sold (part)	11/22/22	M	A	
30. Harris County TX Met Tran Bond 5% Due 11/1/26	C	Interest	M	T					
31. Oklahoma Dev Fin Auth Bond 5% Due 6/1/22	B	Interest			Redeemed	06/01/22	L	A	
32. Comwlth Fing Auth PA Bond 5% Due 6/1/25	C	Interest	M	T					
33. Galveston County TX Mud 44 Bond 5% Due 9/1/23	C	Interest	M	T					
34. College Station TX Indpt Sch Dist Bond 5% Due 8/15/25	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

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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KING, CAROLYN D.	05/23/2023

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	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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35.	Connecticut ST ETC Ser E 5% Due 10/15/26	C	Interest	M	T					
36.	Pennsylvania ST RFDG 2nd Ser B/E 5% Due 1/15/28	C	Interest	M	T					
37.	Stifel Bank - cash account (see part VIII) (Y)									
38.	FIAM Index TD 2005 S (401(k))		None	J	T	Sold (part)	11/22/22	J	A	
39.	JPMorgan Chase Bank (see part VIII) (Y)									
40.	Texas Capital Bank NA (see part VIII) (Y)									
41.	PNC Bank, [redacted] (Checking)		None			Closed	02/16/22	L		
42.	Frost Bank, [redacted] (Checking)	A	Interest	J	T					
43.	Frost Bank, [redacted] (Savings)	C	Interest	O	T					
44.	FIAM Inst Cash Cl F (401(k))	A	Dividend	J	T	Sold (part)	11/22/22	J	A	
45.	Carolyn D. King Trust (see part VIII) (H)	E	Int./Div.							
46.	Austin TX 5% Due 09/01/24		None	M	T	Buy	10/04/22	M		
47.	Eanes TX Ser A 5% Due 08/01/25		None	M	T	Buy	10/04/22	M		
48.	Houston TX Cmnt Cllg Sys 5% Due 02/15/24		None	M	T	Buy	10/04/22	M		

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

Part VII # 5 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 # 17 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 9-16 respresent the variable portion of my [redacted] insurance policy. Income from these investments is not itemized on the statments and would be included as part of item #17.

Part VII #s 37, 39, and 40 are now included with line 27. These were cash equivalents reported on my brokerage statement separately in 2022. The detail is no longer provided, and these assets are now represented simply as "cash" on the statements.

Part VII # 45 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.	05/23/2023

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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Washington, D.C. 20544