

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) Floyd, Henry F.	2. Court or Organization U.S. Court of Appeals for the Fourth Circuit	3. Date of Report 05/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2018 to 12/31/2018
7. Chambers or Office Address 201 Magnolia Street Spartanburg, SC 29306		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1992	S.C. Judges and Solicitors Retirement System, retirement fund payable upon retirement at age 55
2.	
3.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Judges & Solicitors Retirement System - retirement	\$99,926.00
2. 2018	Wofford College, teaching income	\$5,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Pace University School of Law	2/23/2018 - 2/25/2018	White Plains, NY	Judge Moot Court finals	Travel, food, lodging
2. Case Western University School of Law	4/6/2018 - 4/8/2018	Cleveland, OH	Judge Moot Court finals	Travel, food, lodging
3. South Carolina Association for Justice	8/2/2018 - 8/5/2018	Hilton Head, SC	Annual meeting	Registration, lodging, food
4. North Carolina Bar	10/11/2018 - 10-13/2018	Asheville, NC	Speak at CLE	travel, lodging, food
5.				

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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.		

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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. Southern Company common stock	A	Dividend	K	T					
2. South State Bank account (formerly SCBT)	A	Interest	L	T					
3. New York Life - Variable Universal Life Policy (H)									
4. -MainStay VP Capital Appreciation	B	Dividend	K	T					
5. -MainStay VP High Yield Corp. Bond	B	Dividend	K	T					
6. SunTrust Bank Accounts	A	Interest	L	T					
7. Pickens County, SC inherited/gifted real estate		None	P1	S					See Part VIII
8. First Citizens Bank account	A	Interest	J	T					
9. AMERIPRISE BROKERAGE NQ (H)									
10. -COLUMBIA BALANCED CL C	A	Dividend	J	T					
11. -AMERIPRISE INSURED MONEY MARKET(X)	A	Int./Div.	J	T					
12. AMERIPRISE IRA #3 (H)									
13. -Investrust REIT	A	Dividend	J	T					
14. -AMERIPRISE INSURED MONEY MARKET(X)	A	Int./Div.	J	T					
15. Ameriprise IRA Brokerage ADP (H)									
16. -DELAWARE U S GROWTH INSTL CL	A	Dividend			Sold	11/16/18	J		
17. -ISHARES MSCI EAFE VALUE ETF	A	Dividend	J	T					

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 \$5,000,000	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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☐ 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				
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18. -MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	02/16/18	J		
19. - ACTIVE PORTFOLIO MULTI MANAGER TOTAL RETURN BOND CL A	A	Dividend	J	T					
20. - WELLS FARGO EMERGING MARKETS EQUITY INSTL CL	A	Dividend	J	T	Buy (add'l)	08/16/18	J		
21. --Active Portfolio Multi Manager Growth Mutual Fund CL A	A	Dividend	J	T					
22. --Active Portfolio Multi Manager Small Cap Equity Mutual Fund CL A	A	Dividend	J	T					
23. --Active Multi Manager Total Return Bond Mutual fund CL A	A	Dividend	J	T					
24. --Active Portfolio Multi Manager Value Mutual fund CL A	A	Dividend	J	T					
25. --MFS Intl Value Mutual Fund CL A	A	Dividend	J	T					
26. --Oppenheimer Intl Growth Mutual Fund CL A	A	Dividend			Sold	05/22/18	J		
27. --Prudential Jennison Mid Cap Growth Mutual Fund CL A	A	Dividend			Sold	02/16/18	J		
28. --Wells Fargo Emerging Markets Equity Mutual Fund CL A	A	Dividend			Sold	02/16/18	J		
29. --Active Portfolio Multi --Mgr directional Alt Mutual Fund A	A	Dividend	J	T					
30. - DREYFUS GOVT CASH MGMT FDS INSTL SHS 289	A	Int./Div.	J	T	Buy	12/26/18	J		
31. - ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend	J	T	Buy	11/16/18	J		
32. - ISHARES MSCI EAFE VALUE ETF	A	Dividend	J	T	Buy	02/16/18	J		
33. - MULTI MANAGER GROWTH STRATEGIES CL Z	A	Dividend	J	T	Buy	11/16/18	J		

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34. - MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	A	Dividend	J	T	Buy	08/16/18	J		
35. - MULTI MANAGER VALUE STRATEGIES CL Z	A	Dividend	J	T	Buy	05/22/18	J		
36. - PRUDENTIAL JENNISON MID CAP GROWTH CL Z	A	Dividend	J	T	Buy	05/22/18	J		
37. - WELLS FARGO SPECIAL MID CAP VALUE INSTL CL	A	Dividend	J	T	Buy	11/16/18	J		
38. - ISHARES MSCI EAFE VALUE ETF	A	Dividend			Sold	05/22/18	J		
39. - MFS INTL VALUE CL I - SALE VS PURCHASE TRADE	A	Dividend			Sold	05/22/18	J		
40. - MFS VALUE CL I - SALE VS PURCHASE TRADE	A	Dividend			Sold	11/16/18	J		
41. - MULTI MANAGER DIRECTIONAL ALTERNATIVE STRATEGIES CL Z	A	Dividend			Sold	02/16/18	J		
42. - MULTI MANAGER GROWTH STRATEGIES CL Z	A	Dividend			Sold	08/16/18	J		
43. - MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	A	Dividend			Sold	11/16/18	J		
44. - MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z	A	Dividend			Sold	11/16/18	J		
45. - MULTI MANAGER VALUE STRATEGIES CL Z	A	Dividend			Sold	11/16/18	J		
46. Ameriprise INHERITED IRA Brokerage ADP #2 (H)									
47. -Dreyfus Money Market	A	Int./Div.	J	T					
48. -NUVEEN SYMPHONY FLOATING RATE INCOME CL I	A	Dividend			Sold	04/04/18	J		
49. -ACTIVE PORTFOLIO MULTI MANAGER TOTAL RETURN BOND CL A	A	Dividend			Sold	11/16/18	J		

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50. -DELAWARE U S GROWTH INSTL CL	A	Dividend			Sold	11/16/18	J		
51. -ISHARES MSCI EAFE VALUE ETF	A	Dividend			Sold	05/22/18	J		
52. -American Century Mid Cap Value Mutual Fund A	A	Dividend			Sold	04/04/18	J		
53. -Blackrock High Yield Bond Investor Mutual Fund A	A	Dividend							
54. -Blackrock Strategic Income Oppty Mutual Fund A	A	Dividend			Sold	04/06/18	J		
55. -Active Portfolio Multi Mgr Small Cap Equity Mutual Fund A	A	Dividend			Sold	05/22/18	J		
56. -Active Portfolio Multi Mgr Tot Return Bond Mutual Fund	A	Dividend			Sold	11/16/18	J		
57. -Tot Return Bond Mutual Fund A	A	Dividend			Sold	11/16/18	J		
58. -Active Portfolio Multi Mgr Growth Mutual Fund A	A	Dividend			Sold	08/16/18	J		
59. -Active Portfolio Multi Mgr Value Mutual Fund A	A	Dividend			Sold	11/16/18	J		
60. -Active Portfolio Multi Mgr directional Mutual Fund A	A	Dividend			Sold	02/15/18	J		
61. -MFS Intl Value Mutual Fund A	A	Dividend			Sold	05/22/18	J		
62. -MFS Value Mutual Fund A	A	Dividend			Sold	11/16/18	J		
63. -Oppenheimer Intl Growth Mutual Fund A	A	Dividend			Sold	05/22/18	J		
64. -Prudential Jennison Mid Cap Growth Mutual Fund A	A	Dividend			Sold	04/06/18	J		
65. -Wells Fargo Emerging Markets Equity Mutual Fund A	A	Dividend			Sold	04/06/18	J		
66. -Activ Portfolio Multi Mgr Core Plua Mutual Fund A	A	Dividend			Sold	04/06/18	J		

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3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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67. - AMERICAN CENTURY MID CAP VALUE INVESTOR CL	A	Dividend	J	T	Buy	02/15/18	J		
68. - BLACKROCK STRATEGIC INCOME OPPTYS INSTL CL	A	Dividend	J	T	Buy	04/04/18	J		
69. - DELAWARE U S GROWTH INSTL CL	A	Dividend	J	T	Buy	04/04/18	J		
70. - ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend	J	T	Buy	11/16/18	J		
71. - ISHARES MSCI EAFE VALUE ETF	A	Dividend	J	T	Buy	04/04/18	J		
72. - MFS INTL VALUE CL I	A	Dividend	J	T	Buy	04/04/18	J		
73. - MFS VALUE CL I	A	Dividend	J	T	Buy	04/04/18	J		
74. - MULTI MANAGER GROWTH STRATEGIES CL Z	A	Dividend	J	T	Buy	04/04/18	J		
75. - MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	A	Dividend	J	T	Buy	08/16/18	J		
76.					Sold	11/16/18	J		
77. - MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z	A	Dividend	J	T	Buy	11/16/18	J		
78. - MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z	A	Dividend	J	T	Buy	05/22/18	J		
79. - MULTI MANAGER VALUE STRATEGIES CL Z	A	Dividend	J	T	Buy	05/22/18	J		
80. - OPPENHEIMER INTL GROWTH CL Y	A	Dividend	J	T	Buy	04/04/18	J		
81. - PRUDENTIAL JENNISON MID CAP GROWTH CL Z	A	Dividend	J	T	Buy	05/22/18	J		
82. - WELLS FARGO EMERGING MARKETS EQUITY INSTL CL	A	Dividend	J	T	Buy	08/16/18	J		
83. - WELLS FARGO SPECIAL MID CAP VALUE INSTL CL	A	Dividend	J	T	Buy	04/06/18	J		

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84.					Sold	11/16/18			
85. Ameriprise SPS (H)									
86. - AMERIPRISE INSURED MONEY MARKET NOT SIPC INSURED	A	Int./Div.	J	T	Buy	04/04/18	J		
87. - NUVEEN INTERM DURATION MUN BOND CL I	A	Dividend	J	T	Buy	04/03/18	J		
88. - JOHN HANCOCK INTL GROWTH CL I	A	Dividend	J	T	Buy	04/03/18	J		
89. - COLUMBIA OVERSEAS VALUE INSTL CL	A	Dividend	J	T	Buy	04/03/18	J		
90. - BLACKROCK STRATEGIC MUN OPPTY INSTL CL	A	Dividend	J	T	Buy	04/03/18	J		
91. - SECTOR FINANCIAL SELECT SECTOR SPDR ETF	A	Dividend	J	T	Buy	04/03/18	J		
92. - SECTOR HEALTHCARE SELECT SECTOR SPDR ETF	A	Dividend	J	T	Buy	04/03/18	J		
93. - ISHARES RUSSELL 3000 ETF	A	Dividend	J	T	Buy	04/03/18	J		
94. - ISHARES TECHNOLOGY ETF	A	Dividend	J	T	Buy	04/03/18	J		
95. Midland National Executive Universal Life 2A	A	Int./Div.	J	T					See Part VIII
96.									

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

Part VII, Line 95 --- Filer requested investment information from insurance company. I was advised that there is no investment option for policy holder. The interest earned on the premiums is paid by Midland National.

Part VII, Line 8 --- Assessed value \$1,500,000.00. Filer's interest is one-fourth of total value shown.

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05/15/2019

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/ Henry F. Floyd

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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