

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Ballou, Robert S.	2. Court or Organization United States District Court, Western District of Virginia	3. Date of Report 5/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 210 Franklin Road, S.W. Suite 344 Roanoke, Virginia 24011		
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.	President	Marlins Booster Board
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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.

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. Virginia State Bar

October 24, 2013

Washington & Lee School
of Law, Lexington,
VirginiaPresenter at Virginia
State Bar Law School
Professionalism Class

Mileage

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 20

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5/14/2014

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. USAA Bank	A	Interest	K	T					
2. First Citizens Bank	A	Interest	J	T					
3. Wachovia/Wells Fargo Bank		None	J	T					
4. Equitable Variable Life Insurance		None	K	T					
5. USAA Brokerage Account (assets listed below) (H)									
6. -AT&T	A	Dividend			Sold	05/08/13	J	C	
7. -CSX Corp.	A	Dividend	K	T	Sold (part)	05/08/13	K	D	
8. -Exxon Mobil Corp.	A	Dividend	J	T	Sold (part)	05/08/13	J	D	
9. -Frontier Communications Corp.	A	Dividend			Sold	05/08/13	J	A	
10. -Hewlett Packard Co.	A	Dividend			Sold	05/08/13	J	A	
11. -IBM	A	Dividend	K	T	Sold (part)	05/08/13	K	D	
12. -Merck & Co., Inc.	A	Dividend			Sold	05/08/13	K	C	
13. -Norfolk Southern Corp.	A	Dividend	K	T	Sold (part)	05/08/13	J	D	
14. -Sigma Aldrich Corp.	A	Dividend	K	T	Sold (part)	05/08/13	K	D	
15. -Steel Dynamics Corp.	A	Dividend			Sold	05/08/13	J	B	
16. -Verizon Communications, Inc.	B	Dividend	K	T	Sold (part)	05/08/13	K	D	
17. -Dodge & Cox Int'l Stock Fund	A	Dividend			Sold	05/08/13	J	A	

1. Income Gain Codes:	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
(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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(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 20

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	(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. -Torrany Fund	A	Dividend			Sold	05/08/13	J	A	
19. -Tweedy Browne Global Value Fund	A	Dividend			Sold	05/08/13	J	A	
20. -Tweedy Browne Value Fund	A	Dividend			Sold	05/08/13	J	A	
21. USAA Money Market Fund	A	Dividend	J	T					
22. UTMA Account # 1 (holdings listed below) (H)									
23. -Marsico Growth Fund	A	Dividend	J	T					
24. -USAA Growth & Income Fund	A	Dividend	J	T					
25. -USAA Money Market	A	Dividend	J	T					
26. UTMA Account # 2 (holdings listed below) (H)									
27. -Marsico Growth Fund	A	Dividend	J	T					
28. -USAA Growth & Income Fund	A	Dividend	J	T					
29. -USAA Money Market	A	Dividend	J	T					
30. UTMA Account #3 (holdings listed below) (H)									
31. -USAA Growth & Income Fund	A	Dividend	J	T					
32. -USAA Money Market Fund	A	Dividend	J	T					
33. Wells Fargo Brokerage Account (holdings listed below)(H)									
34. -Hewlett-Packard Co.	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 20

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
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35. - Stanley Black & Decker	A	Dividend	J	T					
36. -Sigma Aldrich Corp.	A	Dividend	K	T					
37. 403(b) Retirement Account (holdings listed below)(H)									
38. -Invesco Van Kampen Equity & Income Fund Y	A	Dividend			Sold	02/20/13	J		
39. -Fidelity Spartan 500 Index Investor	A	Dividend			Sold	02/20/13	K		
40. -Goldman Sachs MidCap Value-Inst ((Formerly A Class shares)	A	Dividend	K	T					
41. -Munder Mid Cap Core Growth-Y (formerly A class shares)	A	Dividend	K	T					
42. -American Funds EuroPac. Growth (R6) (Formerly R4 share class	A	Dividend	J	T					
43. -PIMCO Total Return/Institutional	A	Dividend	J	T	Buy	02/20/13	J		
44. -Vanguard Institutional Index 500	A	Dividend	K	T	Buy	02/20/13	K		
45.									
46. Vanguard Retirement Account (holdings below)(H)									
47. -Vanguard Health Care Fund Investor Shares	B	Dividend	L	T					
48.									
49. T.Rowe Price Retirement Account (holdings below)(H)									
50. -T.Rowe Price Mid-Cap Growth Fund	B	Dividend	K	T					
51. -T. Rowe Price Science & Technology Fund			J	T					

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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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 20

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52. -T. Rowe Price Small-Cap Stock Fund	B	Dividend	K	T					
53. -T. Rowe Price Spectrum Growth Fund	A	Dividend	J	T					
54.									
55. Fidelity Retirement Account (holdings below)(H)									
56. -Fidelity Blue Chip Growth	A	Dividend			Closed	05/15/13	J	C	
57. -Fidelity Growth & Income Fund	A	Dividend			Closed	05/15/13	J	C	
58. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
59. -Va. 529 Chesapeake Fund			K	T	Buy (add'l)	06/12/13	J		
60.					Buy (add'l)	12/02/13	J		
61. -Va. 529 Aggressive Growth Fund			K	T	Buy (add'l)	06/12/13	J		
62.					Buy (add'l)	12/02/13	J		
63. Virginia 529 College Savings Plan # 2 (holdings below)(H)									
64. -Va. 529 Chesapeake Fund			K	T	Buy (add'l)	06/12/13	J		
65.					Buy (add'l)	12/02/13	J		
66. -Va. 529 Aggressive Growth Fund			J	T	Buy (add'l)	06/12/13	J		
67.					Buy (add'l)	12/02/13	J		
68. Virginia 529 College Savings Plan # 3 (holdings below)(H)									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 20

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69. -Va. 529 Chesapeake Fund			K	T	Buy (add'l)	06/12/13	J		
70.					Buy (add'l)	12/02/13	J		
71. -Va. 529 Aggressive Growth Fund			J	T	Buy (add'l)	06/12/13	J		
72.					Buy (add'l)	12/02/13	J		
73. Morgan Stanley SEP Account (holdings listed below)(H)									
74. -Morgan Stanley Mutual Global Discovery Fund Class Z					Sold	01/18/13	K	A	
75. -First Trust Mid-Cap Core Alphadex Fund					Sold	01/18/13	J	B	
76. -Alpha Natural Resources Inc.					Sold	01/18/13	J	A	
77. -Western Union Company					Sold	01/18/13	J	A	
78. -Teekay Long Partners LP					Sold	01/18/13	J	A	
79. -Transocean Ltd, Switzerland					Sold	01/18/13	J	A	
80. -Henderson International Opportunities Fund, Class I					Sold	01/18/13	J	A	
81. -McDonald's Corporation					Sold	01/18/13	K	D	
82. -3M Company					Sold	01/18/13	J	B	
83. -First Trust Nasdaq-100 Technology Index Fund					Sold	01/18/13	J	A	
84. -Monsanto Co.					Sold	01/18/13	J	A	
85. -Walt Disney Co.					Sold	01/18/13	J	A	

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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	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 20

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86. -Mondelez International, Inc (Formerly Kraft Foods)	A	Dividend			Sold	01/18/13	J	A	
87. -Kraft Foods Group, Inc. (Spinoff from Kraft Foods)	A	Dividend			Sold	01/18/13	J	A	
88. -Bristol Myers Squibb Co.	A	Dividend			Sold	01/18/13	J	A	
89. -Johnson & Johnson					Sold	01/18/13	J	A	
90. -Pfizer, Inc.					Sold	01/18/13	J	A	
91. -Norfolk Southern Corp.					Sold	01/18/13	K	B	
92. -United States Gasoline Fund LP					Sold	01/18/13	J	A	
93. -Powershares Exchange-Traded Fund Water Res. Port					Sold	01/18/13	J	A	
94. -First Trust Exchange Traded Fund/Dow Jones Internet Index					Sold	01/18/13	J	B	
95. -First Trust Morningstar Dividend Leaders Fund					Sold	01/18/13	J	B	
96. -First Trust Nasdaq-100 Equal Weighted Index					Sold	01/18/13	J	B	
97. -SPDR S&P Dividend ETF	A	Dividend			Sold	01/18/13	J	A	
98. -Guggenheim Timber ETF					Sold	01/18/13	J	A	
99. -First Trust Materials Alphadex Fund					Sold	01/18/13	J	A	
100. -First Trust Small Cap Core Alphadex Fund					Sold	01/18/13	J	B	
101. -Greenhaven Continuous Commodity Index Fund					Sold	01/18/13	J	A	
102. -Morgan Stanley Bank, N.A.	A	Dividend	J	T					

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Page 10 of 20

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103. -Deleware Diversified Income Fund	A	Dividend			Sold	01/18/13	K	A	
104. -Pimco Total Return Fund	A	Int./Div.			Sold	01/18/13	K	A	
105. -Templeton Global Bond Fund Advisor Class	A	Dividend			Sold	01/18/13	K	A	
106. -AQR Managed Futures Strategy	A	Dividend	J	T	Buy	01/29/13	K		
107.					Sold (part)	03/08/13	J		
108.					Buy (add'l)	09/13/13	J		
109.					Buy	11/08/13	J		
110. -Causeway Int'l Value	A	Dividend	L	T	Buy	11/08/13	L		
111. -Deleware Investment Small Cap Value	A	Dividend	J	T	Buy	05/17/13	J		
112.					Sold (part)	09/13/13	J	A	
113.					Buy (add'l)	11/08/13	J		
114. -EV income Fund of Boston	A	Dividend	J	T	Buy	01/28/13	K		
115.					Sold (part)	03/08/13	K	A	
116.					Buy (add'l)	11/08/13	J		
117. -Eaton Vance Commodity Strategy	A	Dividend	K	T	Buy	01/28/13	J		
118.					Buy (add'l)	03/08/13	J		
119.					Buy (add'l)	09/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)

120.					Buy (add'l)	11/08/13	J		
121. -Goldman Sachs Absolute Return	B	Dividend	K	T	Buy	01/28/13	K		
122.					Buy (add'l)	03/08/13	J		
123.					Buy (add'l)	09/13/13	J		
124.					Sold (part)	11/08/13	J	A	
125.					Buy (add'l)	12/16/13	J		
126. -ING Global Real Estate Fund	A	Dividend	J	T	Buy	01/28/13	J		
127.					Buy (add'l)	03/08/13	J		
128.					Buy (add'l)	09/13/13	J		
129.					Sold (part)	11/08/13	J	A	
130. -Invesco Premier	A	Dividend	J	T	Buy	03/08/13	K		
131.					Sold (part)	09/13/13	J		
132.					Sold (part)	11/08/13	J		
133. -Ivy Mid Cap Growth	A	Dividend	J	T	Buy	01/28/13	J		
134.					Sold (part)	03/08/13	J	A	
135.					Sold (part)	09/13/13	J	A	
136.					Sold (part)	11/08/13	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)
137. -JP Morgan Dynamic Small Cap Growth	A	Distribution	J	T	Buy	01/28/13	J		
138.					Sold (part)	03/08/13	J	A	
139.					Sold (part)	09/13/13	J	A	
140.					Sold (part)	11/08/13	J	A	
141.					Buy (add'l)	12/16/13	J		
142. -Mainstay Large Cap Growth	C	Dividend	L	T	Buy	01/28/13	L		
143.					Sold (part)	03/18/13	J	A	
144.					Sold (part)	09/13/13	J	A	
145.					Buy (add'l)	11/08/13	J		
146. -Managers AMG System Mid-Cap Value	B	Dividend	J	T	Buy	01/28/13	J		
147.					Buy (add'l)	03/08/13	J		
148.					Sold (part)	09/13/13	J	A	
149.					Buy (add'l)	11/08/13	J		
150.					Buy (add'l)	12/30/13	J		
151. -Metropolitan West Total Return	A	Dividend	J	T	Buy	01/28/13	J		
152.					Sold (part)	03/08/13	J	A	
153.					Buy (add'l)	09/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)
154.					Sold (part)	11/08/13	J	A	
155.					Buy (add'l)	12/30/13	J		
156. -Nuveen NWQ Larege Cap Value	A	Distribution	K	T	Buy	01/28/13	K		
157.					Sold (part)	03/08/13	J	A	
158.					Sold (part)	09/13/13	J	A	
159.					Buy (add'l)	11/08/13	J		
160. -PIMCO Low Duration	A	Dividend	J	T	Buy	03/08/13	J		
161.					Buy (add'l)	09/13/13	J		
162.					Sold (part)	11/08/13	J	A	
163. Virtus Insight Emerging Markets	A	Dividend	J	T	Buy	01/28/13	K		
164.					Sold (part)	03/08/13	J		
165.					Buy (add'l)	09/13/13	J		
166.					Sold (part)	11/08/13	J		
167.					Buy (add'l)	12/30/13	J		
168.									
169. Morgan Stanley Roth IRA (holdings listed below)(H)									
170. -First Eagle Global Fund Class C					Sold	01/18/13	K	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)
171. -Citibank Deposit Program	A	Int./Div.	J	T					
172. -Verizon Communications					Sold	01/18/13	J	A	
173. -AQR Managed Futures Strategy	A	Dividend	J	T	Buy	01/23/13	J		
174.					Sold (part)	03/08/13	J	A	
175. -Causeway Int'l Value Fund			J	T	Buy	11/18/13	J		
176. -Deleware Inv. Sm. Cap. Value	A	Dividend	J	T	Buy	05/17/13	J		
177.					Buy (add'l)	11/08/13	J		
178. -EV Income Fund of Boston	A	Dividend	J	T	Buy	01/22/13	J		
179.					Sold (part)	03/08/13	J	A	
180.					Buy (add'l)	11/08/13	J		
181. -EV Commodity Strategy	A	Dividend	J	T	Buy (add'l)	01/22/13	J		
182.					Buy (add'l)	03/08/13	J		
183.					Buy (add'l)	09/13/13	J		
184.					Buy (add'l)	11/08/13	J		
185. -Goldman Sachs Absolute Return	A	Dividend	J	T	Buy	01/22/13	J		
186.					Buy (add'l)	03/08/13	J		
187.					Buy (add'l)	09/13/13	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)
188. -ING Global Real Estate Fund	A	Dividend	J	T	Buy	01/22/13	J		
189.					Buy (add'l)	09/13/13	J		
190.					Sold (part)	11/08/13	J	A	
191. -Invesco Premier Institutional			J	T	Buy	03/08/13	J		
192.					Sold (part)	09/13/13	J	A	
193. -Ivy Mid-Cap Growth	A	Dividend	J	T	Buy	01/22/13	J		
194.					Sold (part)	03/08/13	J	A	
195.					Sold (part)	09/13/13	J	A	
196.					Sold (part)	11/08/13	J	A	
197. -JP Morgan Dynamic Small Cap Growth	A	Distribution	J	T	Buy	01/22/13	J		
198.					Sold (part)	03/08/13	J	A	
199.					Sold (part)	09/13/13	J	A	
200.					Sold (part)	11/08/13	J	A	
201.					Buy (add'l)	12/16/13	J		
202. -Mainstay Large Cap Growth	A	Dividend	J	T	Buy	01/22/13	J		
203.					Sold (part)	03/08/13	J	A	
204.					Sold (part)	09/13/13	J	B	

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)
205.					Buy (add'l)	11/08/13	J		
206. -Managers Systematic Mid-Cap. Value	A	Dividend	J	T	Buy	01/22/13	J		
207.					Buy (add'l)	03/08/13	J		
208.					Sold (part)	09/13/13	J	A	
209.					Buy (add'l)	11/08/13	J		
210.					Buy (add'l)	12/30/13	J		
211. -Metropolitan West Total Return	A	Dividend	J	T	Buy	01/22/13	J		
212.					Sold (part)	03/08/13	J	A	
213.					Buy (add'l)	09/13/13	J		
214.					Sold (part)	11/08/13	J	A	
215.					Buy (add'l)	12/30/13	J		
216. -Nuveen NWQ Large Cap Value	A	Dividend	J	T	Buy	01/22/13	J		
217.					Buy (add'l)	03/08/13	J		
218.					Buy (add'l)	09/13/13	J		
219.					Buy (add'l)	11/08/13	J		
220. -PIMCO Low Duration	A	Dividend	J	T	Buy	03/08/13	J		
221.					Buy (add'l)	09/13/13	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 17 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)
222.					Sold (part)	11/08/13	J	A	
223. -Virgus Insight Emerging Markets	A	Dividend	J	T	Buy	01/22/13	J		
224.					Sold (part)	03/08/13	J	A	
225.					Buy (add'l)	09/13/13	J		
226.					Sold (part)	11/08/13	J	A	
227.					Buy (add'l)	12/24/13	J		
228.									
229. Morgan Stanley Traditional IRA No. 1 (holdings below)(H)									
230. -First Eagle Global Fund					Sold	01/18/13	J	A	
231. -Altria Group, Inc.	A	Dividend			Sold	01/18/13	J	C	
232. -Mondelez Int'l, Inc. (formerly Kraft Foods, Inc.)	A	Dividend			Sold	01/18/13	J	B	
233. -Kraft Foods Group, Inc.(spinoff from Kraft Foods)	A	Dividend			Sold	01/18/13	J	A	
234. -Philip Morris Int'l Inc.	A	Dividend			Sold	01/28/13	K	D	
235. -Citibank Deposit Program					Sold	01/18/13	J	A	
236.									
237. Morgan Stanley Traditional IRA No. 2 (holdingsbelow)(H)									
238. -Pfizer, Inc.	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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)

239. -Citibank Bank Deposit Program	A	Dividend	J	T					
240.									
241. AETNA HSA	A	Interest	K	T					
242.									
243. Select Account HSA	A	Int./Div.			Closed	10/08/13	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 19 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 20

Name of Person Reporting

Ballou, Robert S.

Date of Report

5/14/2014

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/ Robert S. Ballou**

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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