

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Faber, David A.	2. Court or Organization West Virginia Southern	3. Date of Report 08/16/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 601 Federal Street Bluefield, WV 24701		
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.	

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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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. Monthly

West Virginia Teachers Retirement

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

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.)*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.

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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. USAA IRA (see note VIII)									
2. VZ	C	Dividend	L	T					
3. CAG		None			Sold	01/19/16	L	E	
4. PFE		None			Sold	01/19/16	L	E	
5. INTC		None			Sold	01/19/16	K	D	
6. WFC		None			Sold	01/19/16	K	C	
7. DD	A	Dividend			Sold	07/20/16	L	D	
8. PG	B	Dividend	L	T					
9. TAL	A	Dividend			Buy (add'l)	03/08/16	K		
10.					Sold	03/18/16	K	B	
11.					Buy	06/11/16	K		
12.					Merged (with line 13)	07/13/16	K	C	
13. TRTN	B	Dividend	K	T	Merged	07/13/16	K		Merged (from line 9)
14.					Buy (add'l)	11/03/16	J		
15.					Sold (part)	11/09/16	J	A	
16. DUK	C	Dividend	L	T					
17. AGNC		None			Sold	01/19/16	K	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	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				
	(1) Amount Code I (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. SNH	C	Dividend	K	T					
19. TYG		None			Sold	01/20/16	K	C	
20. AAPL		None			Sold	01/19/16	L	D	
21. FCX		None			Sold	01/20/16	J	A	
22. KMI	A	Dividend	K	T					
23. GSK	C	Dividend	K	T					
24. SO	C	Dividend	L	T					
25. ESV		None			Sold	01/20/16	J	A	
26. LMT	A	Dividend			Sold	07/18/16	M	D	
27. FNV	A	Dividend			Sold	03/11/16	L	C	
28. COP	A	Dividend			Sold	01/20/16	K	A	
29. CVX	C	Dividend	L	T					
30. KSU	A	Dividend			Sold	01/20/16	K	A	
31. CAT	B	Dividend			Buy	01/25/16	L		
32. CAT					Sold	05/11/16	L	D	
33. POT	A	Dividend			Buy	03/22/16	L		
34. POT					Sold	07/28/16	K	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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				
	(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)

35. EOD	B	Dividend	L	T	Buy	03/21/16	L		
36. IP	B	Dividend	K	T	Buy	03/21/16	K		
37. RSDB	A	Dividend			Buy	03/15/16	K		
38. RSDB					Sold	03/16/16	K	B	
39. HPT	B	Dividend	K	T	Buy	03/15/16	K		
40. CNX		None			Buy	02/25/16	J		
41. CNX					Sold	02/29/16	J	A	
42. INTC	B	Dividend	K	T	Buy	02/18/16	K		
43. CSCO	A	Dividend	K	T	Buy	02/18/16	K		
44. WY	A	Dividend			Buy	02/08/16	K		
45. WY					Sold	06/06/16	K	D	
46. GM	C	Dividend	L	T	Buy	02/08/16	L		
47. LYB	B	Dividend	L	T	Buy	06/16/16	L		
48. AA		None			Buy	03/11/16	J		
49. AA					Sold	04/27/16	J	B	
50. STX	C	Dividend	L	T	Buy	01/25/16	K		
51. RMR		None			Sold	01/19/16	J	A	

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52. CC		None			Sold	01/19/16	J	A	
53. RDSB	B	Dividend	L	T	Buy	07/28/16	L		
54. WFC	B	Dividend	L	T	Buy	08/17/16	K		
55. KO	A	Dividend	K	T	Buy	08/17/16	K		
56. GLAD	B	Dividend	K	T	Buy	08/02/16	K		
57. USAA MONEY MARKET	A	Int./Div.	J	T					
58. GOLD COIN COLLECTION		None	J	W					
59. USAA GROWTH & INC. FUND	A	Dividend			Sold	07/06/16	J	A	
60. USAA SCIENCE & TECH. FUND	A	Dividend			Sold	07/06/16	J	A	
61. USAA INCOME STOCK FUND	A	Dividend			Sold	07/06/16	J	A	
62. CAH	A	Dividend			Buy	03/28/16	K		
63. CAH					Sold	04/04/16	K	A	
64. X	A	Dividend			Buy	02/08/16	K		
65. X					Sold	02/17/16	K	B	
66. CNX	A	Dividend			Buy	02/10/16	J		
67. CNX					Sold	02/17/16	J	B	
68. LYB		None			Buy	06/24/16	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
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69. LYB					Sold	07/11/16	K	A	
70. LUV	A	Dividend			Buy	05/27/16	K		
71. LUV					Sold	06/08/16	K	B	
72. CNX	A	Dividend			Buy	05/10/16	J		
73. CNX					Sold	05/10/16	J	A	
74. SEIC		None			Buy	05/04/16	K		
75. SEIC					Sold	05/09/16	K	B	
76. WU		None			Buy	04/08/16	K		
77. WU					Sold	04/27/16	K	A	
78. BA	A	Dividend			Buy	07/27/16	J		
79. BA					Sold	11/10/16	J	B	
80. RDSA	A	Dividend	J	T	Buy	07/28/16	J		
81. NTRS	A	Dividend			Buy	07/15/16	J		
82. NTRS					Sold	10/05/16	J	A	
83. BPL	B	Distribution	K	T	Buy	07/15/16	J		
84. GSL		None			Buy	12/05/16	J		
85. GSL					Sold	12/07/16	J	A	

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(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	
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86. SDRL		None			Buy	11/25/16	J		
87. SDRL					Sold	12/01/16	K	B	
88. GSL PRB		None			Buy	12/05/16	K		
89. GSL PRB					Sold	12/15/16	K	A	
90. UTX	A	Dividend			Buy	10/17/16	J		
91. UTX					Sold	11/23/16	J	A	
92. C		None			Buy	11/11/16	J		
93. C					Sold	11/23/16	J	A	
94. SIMCON OIL & GAS	A	Royalty			Merged (with line 95)	12/03/16	J	A	
95. PILLAR ENERGY	A	Royalty	J	T		12/03/16			Merged (from line 94)

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

The assets in Section VII, items 1 through 52, are held in a self-directed IRA with USAA. The assets in this account were rolled over on January 15, 2016 from a former self-directed IRA with Smith Barney Citicorp. The Smith Barney Citicorp account was closed.

RMR (the RMR Group) and CC (Chemours Company) were small amounts of stock acquired in spin-offs in 2015 and omitted by oversight from my 2015 report. RMR was spun off from HPT (Hopsitality Properties) in November 2015 and CC was spun off from Du Pont in July 2015. Both these stocks were sold in 2016 as shown in this report.

Citicorp Bank Deposit, Part VII, line 30, was the money market component of a brokerage account. It is no longer a part of that account.

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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/ **David A. Faber**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544