

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) Keenan, Barbara M.	2. Court or Organization U.S. Court of Appeals, 4th Circuit	3. Date of Report 10/16/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge-Active	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 1100 East Main Street Richmond, VA 23219		
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.	Trustee	Trust #1
2.	Trustee	Trust #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. 2010	Commonwealth of Virginia Defined Benefit Retirement Plan
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. 2016	Retirement Income - Commonwealth of Virginia	\$151,363.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Virginia Retirement System - Monthly Payment
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.				
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Bank of America-Bank Accounts	A	Interest	O	T					
2. BB&T -Bank Accounts	A	Interest	M	T					
3. Rental Property #1: Jefferson County, WV	A	Rent	M	W					
4. Rental Property #2: Jefferson County, WV	C	Rent	P1	W					
5. Trust Account #1 (H)									
6. Wells Fargo Sweep Account (cash account)	A	Interest	J	T	Buy	05/20/16	K		
7. BB&T Bank Corp. common stock	D	Dividend			Sold	08/08/16	N	A	
8. Cisco Systems-common stock	C	Dividend	L	T					
9. Coca Cola Corp.-common stock	A	Dividend	K	T					
10. Freeport McMoran-common stock		None	K	T					
11. Glaxo SmithKline-common stock	A	Dividend	J	T					
12. Merk & Co.-common stock	B	Dividend	L	T					
13. Pfizer Inc.-common stock	D	Dividend	M	T					
14. Time Warner Cable-common stock	A	Dividend			Sold	05/20/16	K		
15. Time Warner Inc.-common stock	B	Dividend	L	T					
16. Wells Fargo & Co.-common stock	A	Dividend			Sold	08/08/16	J		
17. Express Scripts Hldg. Co.		None	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		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		

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☐ NONE (No reportable income, assets, or transactions.)

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18. Dominion Resources - common stock	D	Dividend	M	T					
19. AOL - common stock (Y)									
20. Bank of America Tax-Exempt Reserves CL	A	Interest			Sold	04/29/16	K		
21. Time Inc.	A	Dividend	J	T					
22. Charter Communications Inc A		None	K	T	Buy	05/20/16	K		
23. Amer Balanced FD CL A	B	Dividend	M	T	Buy	07/21/16	L		
24.					Buy (add'l)	09/19/16	L		
25. Capital Income BLDR CI A	A	Dividend	K	T	Buy	09/19/16	K		
26. Capital World Bond FD CL A	A	Dividend	K	T	Buy	09/19/16	K		
27. Capital World Growth & Income FD Inc Class A	A	Dividend	K	T	Buy	09/19/16	K		
28. Income Fund Amer Inc Class A	B	Dividend	K	T	Buy	09/19/16	K		
29. Short Term Bond Fd Amer Inc Shares Class A	B	Dividend	N	T	Buy	08/26/16	N		
30.					Sold (part)	09/19/16	M	A	
31. Brokerage Account #1 (H)									
32. Wells Fargo Sweep Account (cash account)	A	Interest	J	T	Open	04/29/16	K		
33. MainStay Marketfield Fund (Y)									
34. SPDR S&P 500 ETF Trust	B	Dividend	L	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 \$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	

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35. SSGA Active Multi Asset Fund	A	Dividend	J	T					
36. Financial Invs TR Listed Private Equity	A	Dividend	J	T					
37. Vanguard INTL EQTY ET Index FDS FTSE ALL WORLD	A	Dividend	K	T					
38. Vanguard Total Bond Market Per Advisor	A	Dividend	J	T					
39. FIA Card SVS NA Rasp MM Fund	A	Interest			Sold	04/29/16	K		
40. Amer Balanced FD CL A	A	Dividend	K	T	Buy	07/21/16	K		
41. Capital Income BLDR CI A	A	Dividend	J	T	Buy	07/21/16	J		
42. Trust for Professional Managers Marketfield Fund Class I (X)		None	J	T					
43. Brokerage Account #2 (H)									
44. Wells Fargo Sweep Account (cash account)	A	Interest	J	T	Buy	04/29/16	N		
45. Coca Cola Co.-common stock	A	Dividend	K	T					
46. General Electric-common stock	B	Dividend	L	T					
47. Intel Corp.-common stock	B	Dividend	K	T					
48. IBM-common stock	B	Dividend	K	T					
49. Pfizer Inc.-common stock	C	Dividend	M	T					
50. Bank of America Muni Reserves Money Market	A	Interest			Sold	04/28/16	L		
51. Dominion Resources - common stock	D	Dividend	M	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
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52. MainStay Market Field Fund (Y)									
53. SPDR S&P ETF Trust	B	Dividend	K	T					
54. SSGA Active Multi Asset	A	Dividend	J	T					
55. Vanguard Total Bond Market	A	Dividend	K	T					
56. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD	A	Dividend	K	T					
57. Financial INVS TR Listed Private Equity ED	A	Dividend	J	T					
58. Merrill Lynch Bank Deposit Program	A	Interest			Sold	04/28/16	M		
59. American Funds Inflation Linked Bond Fun Cl a	A	Dividend	K	T	Buy	07/21/16	K		
60. American FDS Global Balanced FD CL A	B	Dividend	L	T	Buy	07/21/16	L		
61. Amer Mutual FD Inc A	B	Dividend	L	T	Buy	07/21/16	L		
62. Fundamental INVS Inc Class A	A	Dividend	L	T	Buy	07/21/16	L		
63. Trust for Professional Managers Marketfield Fund Class I (X)		None	J	T					
64. Trust Account #2 (H)									
65. Wells Fargo Sweep (cash account) (X)	A	Interest	K	T					
66. Altria Group - common stock	A	Dividend	K	T					
67. Boeing Co. - common stock	A	Dividend	K	T					
68. Cisco Systems Inc. - common stock	A	Dividend	J	T					

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69. Express Scripts Holding Co. - common stock (Y)									
70. Freeport - McMoran Copper and Gold inc. - common stock		None	K	T					
71. General Electric Co. - common stock	A	Dividend	K	T					
72. Hewlett-Packard Co. - common stock	A	Dividend	J	T					
73. IBM - common stock	A	Dividend	J	T					
74. Kraft Food Group - common stock	A	Dividend	J	T					
75. Marriott Int'l - common stock	A	Dividend	K	T					
76. Marriott Vacations Worldwide Corp. - common stock	A	Dividend	J	T					
77. Merck & Co. - common stock	A	Dividend	J	T					
78. Mondelez Int'l Inc. - common stock	A	Dividend	J	T					
79. Mylan Inc. - common stock		None	J	T					
80. Pfizer - common stock	E	Dividend	O	T					
81. Philip Morris International - common stock	B	Dividend	K	T					
82. Reynolds American Inc. - common stock	A	Dividend	J	T					
83. Time Warner Cable - common stock	A	Dividend			Sold	05/20/16	K		
84. Time Warner Inc. - common stock	A	Dividend	J	T					
85. 3 M Co. - common stock	A	Dividend	K	T					

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86. MFS Municipal - Open End Mutual Fund	C	Dividend	L	T					
87. Sentinel Short Maturity Govt Fund - Open End Mutual Fund	A	Dividend	K	T					
88. Eaton Vance Senior -Floating Rate Fund - Closed End Mut.	A	Dividend	J	T					
89. Federal Premier Municipal Income Fund	A	Dividend	J	T					
90. Time Inc. (Y)									
91. Amer Balanced FD CL A	B	Dividend	M	T	Buy	07/21/16	M		
92. Capital World Bond FD	B	Dividend	L	T	Buy	07/21/16	L		
93. Capital World Growth & Income Fd Inc	C	Dividend	M	T	Buy	07/21/16	M		
94. Brokerage Account #3 (H)									
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97. SSGA Active Multi Asset Real Return	A	Dividend	J	T					
98. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD	A	Dividend	J	T					
99. Vanguard Total Bond Mkt Per Advisor	A	Dividend	K	T					
100. Financial INVS TR Listed Private Equity ED	A	Dividend	J	T					
101. Bank of America RASP	A	Interest			Sold	04/28/16	J		
102. Capital World Growth & Income Fd Inc	A	Dividend	J	T	Buy	07/21/16	J		

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103. Trust for Professional Managers Marketfield Fund Class I (X)		None	J	T					
104. VIRGINIA CASH MATCH PLAN 401(A) #1 (H)									
105. VRS Stable Value Fund (Y)									
106. VRS Stock Fund	A	Dividend	J	T					
107. COMMONWEALTH OF VA 457 DEFERRED COMP PLAN #1 (H)									
108. VRS Inflation-Protected Bond Fund		None	L	T	Buy	10/28/16	L		
109. VRS High-Yield Bond Fund	A	Dividend			Sold	10/28/16	L		
110. VRS Stock Fund	D	Dividend	M	T					
111. VRS Small/Mid-Cap Stock Fund	C	Dividend	K	T					
112. VRS International Stock Fund		None	M	T					
113. VIRGINIA CASH MATCH PLAN 401(A) #2 (H)									
114. VRS Stable Value Fund (Y)									
115. VRS Stock Fund	B	Dividend	J	T					
116. COMMONWEALTH OF VA 457 DEFERRED COMP PLAN #2 (H)									
117. VRS Inflation-Protected Bond Fund		None	L	T	Buy	10/28/16	L		
118. VRS High-Yield Bond Fund	A	Dividend			Sold	10/28/16	L		
119. VRS Stock Fund	D	Dividend	M	T					

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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)
120. VRS Small/Mid-Cap Stock Fund	B	Dividend	K	T					
121. VRS International Stock Fund		None	M	T					
122. Trust Account #3: (H)									
123. BB&T Corp. (various accounts)	D	Interest	M	T					
124. Brokerage Account #4 (H)									
125. Bank of America NA RASP	A	Interest			Closed	06/14/16	K		
126. American FDS Portfolio Growth & Income Fund Class A	A	Dividend	K	T	Buy	07/21/16	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
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	

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

Part VII, lines 3: Appraisal 2009; ownership interest is 25%.

Part VII, lines 4: Appraisal 2009; ownership interest is 33.3%.

Part VII, line 36: Name change; see 2015, line 25.

Part VII, line 37: Name change; see 2015, line 26.

Brokerage accounts #2, 3, and 4 of the 2015 report were combined into a single account identified in this report as Brokerage Account #1.

Part VII, line 56: Name change; see 2015, line 42.

Part VII, line 57: Name change; see 2015, line 43.

Part VII, line 98: Name change; see 2015, line 76.

Part VII, line 100: Name change; see 2015, line 78.

Part VII, lines 80-86 of the 2015 report have been split into separate 401(A) and self-directed deferred compensation accounts; holdings have been renamed, per the Virginia plan:

Part VII, line 105 equates to 2015, line 81.

Part VII, line 106 equates to 2015, line 86.

Part VII, line 109 equates to 2015, line 83.

Part VII, line 110 equates to 2015, line 82.

Part VII, line 111 equates to 2015, line 85.

Part VII, line 112 equates to 2015, line 84.

Part VII, lines 87-93 of the 2015 report have been split into separate 401(A) and self-directed deferred compensation accounts; holdings have been renamed, per the Virginia plan:

Part VII, line 114 equates to 2015, line 88.

Part VII, line 115 equates to 2015, line 93.

Part VII, line 118 equates to 2015, line 90.

Part VII, line 119 equates to 2015, line 89.

Part VII, line 120 equates to 2015, line 92.

Part VII, line 121 equates to 2015, line 91.

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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/ **Barbara M. Keenan**

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