

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/14/2018
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 01/01/2017 to 12/31/2017
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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. 2017	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. 2017	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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					
7. Cisco Systems-common stock (CSCO)	C	Dividend	M	T					
8. Coca Cola Corp.-common stock (KO)	A	Dividend	K	T					
9. Freeport McMoran-common stock (FCX)		None	K	T					
10. Glaxo SmithKline-common stock (GSK)	A	Dividend	J	T					
11. Merk & Co.-common stock (MRK)	B	Dividend	L	T					
12. Pfizer Inc.-common stock (PFE)	D	Dividend	M	T					
13. Time Warner Inc.-common stock (TWX)	B	Dividend	L	T					
14. Express Scripts Hldg. Co. (ESRX)		None	J	T					
15. Dominion Resources - common stock (D)	D	Dividend	M	T					
16. Time Inc. (TIME)	A	Dividend	J	T					
17. Charter Communications Inc A (CHTR)		None	K	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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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)

18. Amer Balanced FD CL A (ABALX)	C	Dividend	M	T					
19. Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
20. Capital World Bond FD CL A (CWBFX)	A	Dividend	K	T					
21. Capital World Growth & Income FD Inc Class A (CWGIX)	B	Dividend	K	T					
22. Income Fund Amer Inc Class A (AMECX)	B	Dividend	K	T					
23. Short Term Bond Fd Amer Inc Shares Class A (ASBAX)	B	Dividend	N	T					
24. Brokerage Account #1 (H)									
25. Wells Fargo Sweep Account (cash account)	A	Interest	J	T					
26. SPDR S&P 500 ETF Trust (SPY)	B	Dividend	L	T					
27. SSGA Active Multi Asset Fund (RLY)	A	Dividend	J	T					
28. Financial Invs TR Listed Private Equity (LPEIX)	A	Dividend	J	T					
29. Vanguard INTL EQTY ET Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
30. Vanguard Total Bond Market Per Advisor (BND)	A	Dividend	J	T					
31. Amer Balanced FD CL A (ABALX)	A	Dividend	K	T					
32. Capital Income BLDR Cl A (CAIBX)	A	Dividend	J	T					
33. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					
34. Brokerage Account #2 (H)									

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 6 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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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. Wells Fargo Sweep Account (cash account)	A	Interest	P1	T					
36. Coca Cola Co.-common stock (KO)	A	Dividend	K	T					
37. General Electric-common stock (GE)	B	Dividend	K	T					
38. Intel Corp.-common stock (INTC)	B	Dividend	L	T					
39. IBM-common stock (IBM)	B	Dividend	K	T					
40. Pfizer Inc.-common stock (PFE)	C	Dividend	M	T					
41. Dominion Resources - common stock (D)	D	Dividend	M	T					
42. SPDR S&P ETF Trust (SPY)	B	Dividend	L	T					
43. SSGA Active Multi Asset (RLY)	A	Dividend	J	T					
44. Vanguard Total Bond Market (BND)	A	Dividend	K	T					
45. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
46. Financial INVS TR Listed Private Equity ED (LPEIX)	A	Dividend	J	T					
47. American Funds Inflation Linked Bond Fun CI A (BFIAX)	A	Dividend	K	T					
48. American FDS Global Balanced FD CL A (GBLAX)	C	Dividend	M	T					
49. Amer Mutual FD Inc A (AMRMX)	C	Dividend	L	T					
50. Fundamental INVS Inc Class A (ANCFX)	D	Dividend	L	T					
51. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		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	
	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 7 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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52. US Treasury Bill (912796KR9)		None			Buy	07/17/17	P1		
53.					Redeemed	10/12/17	P1	B	
54.					Buy	10/18/17	P1		
55.					Redeemed	12/21/17	P1	B	
56. Trust Account #2 (H)									
57. Wells Fargo Sweep (cash account)	A	Interest	L	T					
58. Altria Group - common stock (MO)	A	Dividend	K	T					
59. Boeing Co. - common stock (BA)	A	Dividend	K	T					
60. British American Tob PLC ADR (BTI)	A	Dividend	J	T	Buy	07/25/17	J		
61. Cisco Systems Inc. - common stock (CSCO)	A	Dividend	J	T					
62. Freeport - McMoran Copper and Gold inc. - common stock (FCX)		None	K	T					
63. General Electric Co. - common stock (GE)	A	Dividend	K	T					
64. Hewlett-Packard Co. - common stock (HPE)	A	Dividend	J	T					
65. HP Inc (HPQ) (X)	A	Dividend	J	T					
66. IBM - common stock (IBM)	A	Dividend	J	T					
67. Kraft Food Group - common stock (KHC)	A	Dividend	J	T					
68. Marriott Int'l - common stock (MAR)	A	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
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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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69. Marriott Vacations Worldwide Corp. - common stock (VAC)	A	Dividend	J	T					
70. Merck & Co. - common stock (MRK)	A	Dividend	J	T					
71. Mondelez Int'l Inc. - common stock (MDLZ)	A	Dividend	J	T					
72. Mylan Inc. - common stock (MYL)		None	J	T					
73. Pfizer - common stock (PFE)	E	Dividend	P1	T					
74. Philip Morris International - common stock (PM)	B	Dividend	K	T					
75. Reynolds American Inc. - common stock	A	Dividend			Sold	07/25/17	J	B	
76. Time Warner Inc. - common stock (Y)									
77. 3 M Co. - common stock (MMM)	A	Dividend	K	T					
78. MFS Municipal - Open End Mutual Fund (MMIDX)	C	Dividend	L	T					
79. Touchstone FDS Group TR Ultra Short Duration (SSSGX)	A	Dividend	K	T					
80. Eaton Vance Senior -Floating Rate Fund - Closed End Mut. (EFR)	A	Dividend	J	T					
81. Federal Premier Municipal Income Fund (FMN)	A	Dividend	J	T					
82. Amer Balanced FD CL A (ABALX)	D	Dividend	M	T					
83. Capital World Bond FD (CWBFX)	B	Dividend	L	T					
84. Capital World Growth & Income Fd Inc (CWGIX)	D	Dividend	M	T					
85. Brokerage Account #3 (H)									

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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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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86. SPDR S&P 500 ETF Trust (SPY)	A	Dividend	L	T					
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88. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend	J	T					
89. Vanguard Total Bond Mkt Per Advisor (BND)	A	Dividend	K	T					
90. Financial INVS TR Listed Private Equity ED (LPEIX)	A	Dividend	J	T					
91. Capital World Growth & Income Fd Inc (CWGIX)	A	Dividend	J	T					
92. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					
93. VIRGINIA CASH MATCH PLAN 401(A) #1 (H)									
94. VRS Stock Fund		None	J	T					
95. COMMONWEALTH OF VA 457 DEFERRED COMP PLAN #1 (H)									
96. VRS Inflation-Protected Bond Fund		None	L	T					
97. VRS Stock Fund		None	M	T					
98. VRS Small/Mid-Cap Stock Fund		None	K	T					
99. VRS International Stock Fund		None	M	T					
100. VIRGINIA CASH MATCH PLAN 401(A) #2 (H)									
101. VRS Stock Fund		None	J	T					
102. COMMONWEALTH OF VA 457 DEFERRED COMP PLAN #2 (H)									

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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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

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103. VRS Inflation-Protected Bond Fund		None	L	T					
104. VRS Stock Fund		None	M	T					
105. VRS Small/Mid-Cap Stock Fund		None	L	T					
106. VRS International Stock Fund		None	M	T					
107. Brokerage Account #4 (H)									
108. American FDS Portfolio Growth & Income Fund Class A (GAIOX)	B	Dividend	K	T	Sold (part)	10/18/17	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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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

Part VII, line 2: Consolidation of lines 2, 122, and 123 of the 2016 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 79: Corporate name change, corresponds with line 87 of 2016 report.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Keenan, Barbara M.

Date of Report

05/14/2018

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
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Washington, D.C. 20544