

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/1/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 110 N. Royal Street Suite 305 Alexandria, VA 22314		
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. Insert signature on last page.		

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.	Co-Trustee	Trust #3
4.	Co-Trustee	Trust #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.	

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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. 2011	Retirement Income - Commonwealth of Virginia	\$139,463.00
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. 2011	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.)*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. Bank of America-Bank Accounts	E	Interest	N	T					
2. BB&T -Bank Accounts	A	Interest	J	T					
3. Jefferson County, WV- farmland, 25% interest	A	Rent	M	Q					
4. Jefferson County, WV- farm + structures-25% int	B	Rent	O	Q					
5. Bank of America Brokerage Account #1:									
6. BB&T Bank Corp. common stock	E	Dividend	N	T					
7. Cisco Systems-common stock		None	L	T					
8. Coca Cola Corp.-common stock	A	Dividend	J	T					
9. Dell Inc.-common stock		None	J	T					
10. Freeport McMoran-common stock		None	L	T					
11. Glaxo SmithKline-common stock	A	Dividend	J	T					
12. Medco Health Solutions-common stock		None	J	T					
13. Merk & Co.-common stock	B	Dividend	K	T					
14. Pfizer Inc.-common stock	C	Dividend	L	T					
15. Time Warner Cable-common stock		None	J	T					
16. Time Warner Inc.-common stock	B	Dividend	K	T					
17. Wells Fargo & Co.-common stock	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 = \$250,000,001 - \$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. Bank of America Tax-Exempt Reserves CL	A	Interest	K	T					
19. Bank of America Brokerage Acct. #2 (IRA)									
20. Pfizer, Inc.-common stock	C	Dividend	K	T					
21. MFS Growth Fund Port Class A		None	J	T					
22. Bank of America Cash Reserves Class A	A	Interest	J	T					
23. Bank of America Brokerage Acct. #3									
24. Coca Cola Co.-common stock	A	Dividend	J	T					
25. General Electric-common stock	C	Dividend	K	T					
26. Intel Corp.-common stock	A	Dividend	K	T					
27. IBM-common stock	B	Dividend	L	T					
28. Microsoft Corp. - common stock	B	None			Sold	12/21/11	L		
29. Pfizer Inc.-common stock	C	Dividend	L	T					
30. Bank of America Muni Reserves Money Market	A	Interest	J	T					
31. Federal Thrift Savings Plan G Fund (X)		None	K	T					
32. Merrill Lynch Brokerage Acct (IRA- [REDACTED])									
33. AIM International	A	Interest	J	T					
34. Allianz NFJ Divident	A	Interest	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Blackrock Global Growth Fund		None	J	T					
36. Davis Financial FD		None	J	T					
37. Jennison 20/20 Focus		None	J	T					
38. JP Morgan Equity Income Fund	A	Interest	J	T					
39. MFS International New Discovery Fund	A	Interest	J	T					
40. Thornburg Core Growth Fund		None	J	T					
41. Touchstone Large Cap Growth Fund		None	J	T					
42. Commonwealth of VA Defined Contribution Plan									
43. Treasury Bill-Money Mkt Fnd		None	M	T					
44. S&P 500 Index		None	K	T					
45. Active Inflation Pro Bond Fund		None	L	T					
46. International Equity Index Fund		None	K	T					
47. Active Global Equity Fund		None	K	T					
48. 401(a) Cash Match-S&P 500 Index Fund		None	J	T					
49. Commonwealth of VA Defined Contribution Plan									
50. Treasury Bill Money Market Fund		None	M	T					
51. S&P 500 Index Fund		None	K	T					

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52. Active Inflation Pro Bond Fund		None	L	T					
53. International Equity Index Fund		None	K	T					
54. Active Global Equity Fund		None	K	T					
55. 401(a) Cash Match S&P Index		None	J	T					
56. TRUST #1:									
57. BB&T Corp. Accounts	E	Interest	M	T					
58. TRUST #2:									
59. BB&T Corp. Bank Accounts	C	Interest	M	T					
60. SunTrust Bank Account	A	Interest	J	T					
61. Pfizer Corp. common stock	E	Dividend	O	T					
62. TRUST #3:									
63. BB&T Corp. Account	A	Interest	J	T					
64. Wells Fargo Brokerage Account									
65. 3M Co.-common stock	B	Dividend	K	T					
66. Altria Group Inc.-common stock	C	Dividend	K	T					
67. Boeing-common stock	B	Dividend	K	T					
68. Cisco Systems-common stock	A	Dividend	J	T					

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69. Freeport McMoran-Class B Stock	D	Dividend	M	T					
70. General Electric-common stock	D	Dividend	L	T					
71. Hewlett Packard-common stock	A	Dividend	J	T					
72. IBM-common stock	A	Dividend	L	T					
73. Kraft Foods-Class A stock	B	Dividend	K	T					
74. Marriott Int'l.-common stock	B	Dividend	L	T					
75. Marriott Vacations (X)	C	Dividend	J	T					
76. Medco Health Solutions-common stock		None	J	T					
77. Merk & Co.-common stock	A	Dividend	J	T					
78. Mylan, Inc.-common stock		None	K	T					
79. Philip Morris-common stock	C	Dividend	L	T					
80. Reynolds American-common stock	A	Dividend	K	T					
81. Time Warner Cable-common stock	A	Dividend	J	T					
82. Time Warner Inc. New Com	A	Dividend	J	T					
83. MFS Muni Inc. Fd-Class A Stock	D	Dividend	M	T					
84. Trust #4:									
85. Pfizer, Inc.-common stock	E	Dividend	P1	T					

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86. BB&T Corp. Accounts	C	Interest	M	T					
87. USAA Accounts	B	Interest	L	T					
88. Wells Fargo Brokerage Account:									
89. Pfizer Inc.-common stock	E	Dividend	N	T					
90. Eaton Vance Sr. Floating Rate Bond	B	Dividend	K	T					
91. Federated Premier Muni Bond Fund	B	Dividend	K	T					
92. Henrico Cnty, VA Economic Dev. Auth. West Canterbury CFN	D	Interest	M	T					
93. Peninsula Parts Auth VA-Coal Term. Res. Ref.	B	Interest	K	T					
94. Roanoke City, VA Ind. Develop. Auth. Res. Care FC	B	Interest			Sold	3/24/11	J		
95. Winchester VA Indl. Develop. Auth. Res. Care Fac. Rev. Serv.	B	Interest	K	T					
96. Sentinel Short Maturity Government (X)	B	Interest			Sold	8/1/11	L		

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

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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