

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) Floyd, Henry F.	2. Court or Organization U.S. Court of Appeals for the Fourth Circuit	3. Date of Report 08/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2016 to 12/31/2016
7. Chambers or Office Address 201 Magnolia Street Spartanburg, SC 29306		
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. _____	_____
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. 1992	S.C. Judges and Solicitors Retirement System, retirement fund payable upon retirement at age 55
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	Judges & Solicitors Retirement System - retirement	\$98,353.00
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.	
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. Case Western University Law School	4/8/2016 - 4/10/2016	Cleveland, Ohio	Judge Moot Court finals	Travel, food, lodging
2. University of Tennessee Law School	10/19/2016 - 10/21/2016	Knoxville, Tennessee	Judge Moot Court finals	Travel, food, lodging
3. S.C. Defense Trial Attorneys Assoc.	11/10/2016 - 11/12/2016	Greensboro, Georgia	Annual meeting	Registration, lodging, food
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.)*

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.		

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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. Southern Company common stock	A	Dividend	K	T					
2. IRA #1 (H)									
3. - Jennison 20/20 Focus Fund	A	Dividend			Redeemed	12/01/16	J		
4. South State Bank account (formerly SCBT)	A	Interest	J	T					
5. New York Life - Variable Universal Life Policy									
6. --MainStay VP Capital Appreciation	B	Dividend	K						
7. --MainStay VP High Yield Corp. Bond	B	Dividend	K						
8. MetLife Insurance (formerly Travelers Life & Annuity)(Y)									See Part VIII
9. SunTrust Bank Accounts	A	Interest	L	T					
10. Pickens County, SC inherited/gifted real estate		None	P1	S					See Part VIII
11. First Citizens Bank account	A	Interest	J	T					
12. IRA #2 (H)									
13. --VP Moderate Aggressive Mutual Fund CL C (Y)									
14. AMERIPRISE BROKERAGE (H)									
15. --John Hancock Lifestyle Balanced CL C Mutual Fund	A	Dividend	J	T					
16. --John Hancock Lifestyle Balanced CL C Mutual Fund (Y)									
17. AMERIPRISE IRA #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
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,000.01 - \$500,000.00	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				
	(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. --Investtrust REIT	A	Dividend	J	T					
19. Xenia Hotels Common Stock (Y)									
20. Ameriprise IRA Brokerage ADP (H)									
21. --Eaton Vance Floating Rate & High Income Mutual Fund CL A (Y)									
22. --JPMorgan Strategic Income Oppty Mutual fund CL A (Y)									
23. --MFS Emerging Markets Debt Mutual fund CL A (Y)									
24. --Prudential Global Real Estate Mutual fund CL A(Y)									
25. --Active Portfolio Multi Manager Growth Mutual Fund CL A	A	Dividend	J	T					
26. --Active Portfolio Multi Manager Small Cap Equity Mutual Fund CL A	A	Dividend	J	T					
27. --Active Multi Manager Total Return Bond Mutual fund CL A	A	Dividend	K	T					
28. --Active Multi Manager Total Return Bond Mutual fund CL A (Y)									
29. --Active Multi Manager Total Return Bond Mutual fund CL A (Y)									
30. --Active Portfolio Multi Manager Value Mutual fund CL A	A	Dividend	J	T	Buy	07/18/16	J		
31. --American Century Mid Cap Value Mutual fund CL A (Y)									
32. --Blackrock Strategic Income Oppty Investor Mutual Fund CL A	A	Dividend	J	T					
33. --Blackrock Strategic Income Oppty Investor Mutual Fund CL A (Y)									
34. --Columbia Income Oppty Mutual fund CL A	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		

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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. --JP Morgan Large Cap Growth Mutual Fund CL A	A	Dividend	J	T					
36. --JP Morgan Large Cap Growth Mutual Fund CL A (Y)									
37. --MFS Intl Value Mutual Fund CL A	A	Dividend	J	T					
38. --MFS Value Mutual Fund CL A	A	Dividend	J	T	Sold (part)	07/18/16	J		
39. --Oppenheimer Intl Growth Mutual Fund CL A	A	Dividend	J	T					
40. --Prudential Jennison Mid Cap Growth Mutual Fund CL A	A	Dividend	J	T					
41. --Wells Fargo Emerging Markets Equity Mutual Fund CL A	A	Dividend	J	T					
42. --Wells Fargo Special Mid Cap Value Mutual Fund CL A (Y)									
43. --Money Market Mutual Fund CL A (Y)									
44. --Blackrock High Yield Mutual Fund A (x)	A	Dividend	J	T	Buy	07/18/16	J		
45. --Active Portfolio Multi --Mgr directional Alt Mutual Fund A (x)	A	Dividend	J	T	Buy	10/17/16	J		
46. Ameriprise IRA Brokerage ADP #2 (H)									
47. --Dreyfus Money Market(x)	A	Dividend	J	T	Redeemed (part)	12/12/16	J		
48. --American Century Mid Cap Value Mutual Fund A (x)	A	Dividend	J	T					
49. --Blackrock High Yield Bond Investor Mutual Fund A (x)	A	Dividend	J	T	Buy	07/20/16	J		
50. --Blackrock Strategic Income Oppty Mutual Fund A (x)	A	Dividend	J	T	Sold (part)	07/21/16	J		
51. --Columbia Income Oppty Mutual Fund A (x)	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 = \$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	

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52. --Active Portfolio Multi Mgr Small Cap Equity Mutual Fund A (x)	A	Dividend	J	T					
53. --Active Portfolio Multi Mgr Tot Return Bond Mutual Fund A (x)	A	Dividend	J	T	Buy	07/20/16	J		
54. --Tot Return Bond Mutual Fund A (x)					Sold (part)	12/07/16	J		
55. --Active Portfolio Multi Mgr Growth Mutual Fund A (x)	A	Dividend	J	T					
56. --Active Portfolio Multi Mgr Value Mutual Fund A (x)	A	Dividend	J	T	Buy	07/20/16	J		
57. --Active Portfolio Multi Mgr directional Mutual Fund A (x)	A	Dividend	J	T	Buy	10/20/16	J		
58. --JPMorgan Large Cap Growth Mutual Fund A (x)	A	Dividend	J	T					
59. --MFS Intl Value Mutual Fund A (x)	A	Dividend	J	T					
60. --MFS Value Mutual Fund A (x)	A	Dividend	J	T					
61. --Oppenheimer Intl Growth Mutual Fund A (x)	A	Dividend	J	T					
62. --Prudential Jennison Mid Cap Growth Mutual Fund A (x)	A	Dividend	J	T					
63. --Wells Fargo Emerging Markets Equity Mutual Fund A (x)	A	Dividend	J	T					
64. --Activ Portfolio Multi Mgr Core Plua Mutual Fund A (x)	A	Dividend	J	T	Buy	01/19/16	J		
65. Midland National Executive Universal Life 2A	A	Interest	J	T					See Part VIII

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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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, Line 8 -- Policies insured the life of my children. I surrendered my beneficiary and cash value rights to my adult children. The only reason I listed the policies was I had a right to the cash value by agreement with the children. At the end of 2015, the children assumed responsibility for their policies.

Part VII, Line 10 --- Assessed value \$1,200,000.00. Filer's interest is one-fourth of total value shown.

Part VII, Line 65 --- Filer requested investment information from insurance company. I was advised there is no investment option for policy holder. The interest earned on the premiums is paid by Midland National.

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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/ **Henry F. Floyd**

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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