

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Ballou, Robert S.	2. Court or Organization United States District Court, Western District of Virginia	3. Date of Report 05/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 210 Franklin Road, S.W. Suite 344 Roanoke, Virginia 24011		
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.	Past-president	Marlins Booster Board
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.		
2.		
3.		

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Name of Person Reporting

Ballou, Robert S.

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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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Virginia CLE	Jan. 7-8, 2016	Charlottesville, VA	Teach and judge mock trials at National Trial Advocacy Institute	One night food and lodging paid for my spouse and me.
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 Bank	A	Interest	L	T					
2. First Citizens Bank	A	Interest	K	T					
3. Wells Fargo Bank		None	J	T					
4. Equitable Variable Life Insurance		None	K	T					
5. USAA Brokerage Account (assets listed below) (H)									
6. -CSX Corp.	A	Dividend	K	T					
7. -Exxon Mobil Corp.	A	Dividend	J	T					
8. -IBM	A	Dividend	K	T					
9. -Norfolk Southern Corp.	A	Dividend	K	T					
10. -Sigma Aldrich Corp.	A	Dividend			Sold	11/18/15	K	E	
11. Stanley Black & Decker (Tsf from Wells Fargo Brokerage - see line 26)	A	Dividend	J	T					
12. -Verizon Communications, Inc.	B	Dividend	K	T					
13. -Tweedy Browne Value Fund	A	Dividend	J	T					
14. USAA Money Market Fund	A	Dividend	L	T					
15. UTMA Account # 1 (holdings listed below) (H)									
16. -Marsico Growth Fund	A	Dividend	J	T					
17. -USAA Growth & Income Fund	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 \$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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18. -USAA Money Market	A	Dividend	J	T					
19. UTMA Account # 2 (holdings listed below) (H)									
20. -Marsico Growth Fund	A	Dividend	J	T					
21. -USAA Growth & Income Fund	A	Dividend	J	T					
22. -USAA Money Market	A	Dividend	J	T					
23. UTMA Account #3 (holdings listed below) (H)									
24. -USAA Growth & Income Fund	A	Dividend	J	T					
25. -USAA Money Market Fund	A	Dividend	J	T					
26. Wells Fargo Brokerage Account (holdings listed below)(H) - closed									
27. -Hewlett-Packard Co.	A	Dividend			Sold	11/30/15	J	A	
28. - Stanley Black & Decker	A	Dividend			Merged (with line 11)	12/16/15	J		
29. -Sigma Aldrich Corp.	A	Dividend			Sold	11/18/15	L	E	
30. 403(b) Retirement Account (holdings listed below)(H)									
31. -Goldman Sachs MidCap Value-Inst (Formerly A Class shares)	B	Dividend	K	T					
32. -Munder Mid Cap Core Growth-Y (formerly A class shares)	B	Dividend	K	T					
33. -American Funds EuroPac. Growth (R6) (Formerly R4 share class)	A	Dividend	K	T					
34. Metropolitan West Total Return Bond Plan	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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	(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. -Vanguard Institutional Index 500	A	Dividend	K	T					
36.									
37. Vanguard Retirement Account (holdings below)(H)									
38. -Vanguard Health Care Fund Investor Shares	D	Dividend	M	T					
39.									
40. T.Rowe Price Retirement Account (holdings below)(H)									
41. -T.Rowe Price Mid-Cap Growth Fund	C	Dividend	K	T					
42. -T. Rowe Price Science & Technology Fund	A	Dividend	J	T					
43. -T. Rowe Price Small-Cap Stock Fund	C	Dividend	K	T					
44. -T. Rowe Price Spectrum Growth Fund	B	Dividend	J	T					
45.									
46. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
47. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	12/21/15	J		
48. Va 529 Stock Index Fund		None	J	T	Buy (add'l)	12/21/15	J		
49. -Va. 529 Aggressive Growth Fund		None	K	T	Buy (add'l)	12/21/15	J		
50.									
51. Virginia 529 College Savings Plan # 2 (holdings below)(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	

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52. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	12/21/15	J		
53. Va 529 Stock Index Fund		None	J	T	Buy (add'l)	12/21/15	J		
54. -Va. 529 Aggressive Growth Fund		None	K	T	Buy (add'l)	12/21/15	J		
55. Virginia 529 College Savings Plan # 3 (holdings below)(H)									
56. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	12/21/15	J		
57. Va 529 Stock Index Fund		None	J	T	Buy	12/21/15	J		
58. -Va. 529 Aggressive Growth Fund		None	K	T	Buy (add'l)	04/10/15	J		
59.					Buy (add'l)	12/21/15	J		
60.									
61. USAA SEP Acct. - formerly Morgan Stanley SEP (holdings below)(H)									
62. -Morgan Stanley Bank, N.A.	A	Dividend			Sold	12/10/15	J	A	
63. -USAA Money Market	A	Dividend	J	T	Buy	12/10/15	J		
64. -AQR Managed Futures Strategy	A	Dividend	J	T					
65.					Sold (part)	04/17/15	J	A	
66.					Buy (add'l)	08/14/15	J		
67. -Blackrock Low Dur. BD Inv. (Institutional Shs.)	A	Dividend	J	T					
68.					Buy (add'l)	04/17/15	J		

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69.					Buy (add'l)	08/14/15	J		
70. -Causeway Int'l Value	B	Dividend	L	T					
71.					Buy (add'l)	04/17/15	J		
72.					Buy (add'l)	08/14/15	J		
73. -Center Coast MLP	A	Dividend							
74.					Sold (part)	04/17/15	J	A	
75.					Sold	08/14/15	J	A	
76. -Deleware Investment Small Cap Value	A	Dividend	J	T					
77.					Buy (add'l)	04/17/15	J		
78.					Buy (add'l)	08/14/15	J		
79. -EV Income Fund of Boston	A	Dividend	J	T					
80.					Buy (add'l)	04/17/15	J		
81.					Buy (add'l)	08/14/15	J		
82. -Eaton Vance Commodity Strategy	A	Dividend			Sold	04/17/15	J	A	
83. -Goldman Sachs Absolute Return	B	Dividend			Sold	04/17/15	L	A	
84. -ING Global Real Estate Fund (Re-named Voya Global Real Estate)	A	Dividend	J	T					
85.					Buy (add'l)	04/17/15	J		

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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86.					Sold (part)	08/14/15	J	A	
87. -Invesco Premier	A	Dividend			Sold	08/14/15	J	A	
88. -Ivy Mid Cap Growth	A	Dividend	J	T					
89.					Sold (part)	04/17/15	J	A	
90.					Buy (add'l)	08/14/15	J		
91. -John Hancock Dispicined Value (Inst. Shs.)	B	Dividend	K	T					
92.					Buy (add'l)	04/17/15	J		
93.					Sold (part)	08/14/15	J	A	
94. -John Hancock Seaport CL I	A	Dividend	J	T	Buy	08/14/15	J		
95. -JP Morgan Dynamic Small Cap Growth	B	Dividend	J	T					
96.					Sold (part)	04/17/15	J	A	
97.					Buy (add'l)	08/14/15	J		
98. -Legg Mason WA Emerg. Mkts.	A	Dividend							
99.					Buy (add'l)	04/17/15	J		
100.					Sold	08/14/15	J	A	
101. -Mainstay Large Cap Growth		None	K	T					
102.					Buy (add'l)	04/17/15	J		

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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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103.					Sold (part)	05/20/15	K	D	
104.					Sold (part)	08/14/15	J	B	
105. -Managers AMG System Mid-Cap Value - Renamed to AMG Systematic	A	Dividend	J	T					
106.					Sold (part)	04/17/15	J	A	
107.					Buy (add'l)	08/14/15	J		
108. -Metropolitan West Total Return	A	Dividend	K	T					
109.					Buy (add'l)	04/17/15	J		
110.					Buy (add'l)	08/14/15	J		
111. -Pimco Foreign Bond Fund	A	Dividend	J	T					
112.					Buy (add'l)	08/14/15	J		
113. -Pimco Short Term Foreign Bond Fund	A	Dividend	J	T	Buy	08/14/15	J		
114. -Riverpartk/Wedgewood Instl.	A	Dividend	K	T	Buy	05/20/15	K		
115.					Sold (part)	08/14/15	J	A	
116. Virtus Insight Emerging Markets	A	Dividend	K	T					
117.					Buy (add'l)	04/17/15	J		
118.					Buy (add'l)	08/14/15	J		
119. USAA Roth IRA - formerly - Morgan Stanley Roth IRA (holdings below)(H)									

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	(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. -Citibank Deposit Program	A	Int./Div.			Sold	12/10/15	J	A	
121. USAA Money Market	A	Dividend	J	T	Buy	12/10/15	J		
122. -AQR Managed Futures Strategy	A	Dividend	J	T					
123.					Sold (part)	04/17/15	J	A	
124.					Buy (add'l)	08/14/15	J		
125. -Blackrock Low Duration Bnd. Fund	A	Dividend	J	T					
126.					Buy (add'l)	04/17/15	J		
127.					Buy (add'l)	08/14/15	J		
128. -Causeway Int'l Value Fund	A	Dividend	J	T					
129.					Buy (add'l)	04/17/15	J		
130.					Buy (add'l)	08/14/15	J		
131. -Center Coast MLP	A	Dividend	J	T					
132.					Buy (add'l)	04/17/15	J		
133.					Sold (part)	08/14/15	J	A	
134. -Deleware Inv. Sm. Cap. Value	A	Dividend	J	T					
135.					Buy (add'l)	08/14/15	J		
136. -EV Income Fund of Boston	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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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)
137.					Buy (add'l)	04/17/15	J		
138.					Buy (add'l)	08/14/15	J		
139. -EV Commodity Strategy	A	Dividend							
140.					Sold	04/17/15	J	A	
141. -Goldman Sachs Absolute Return	A	Dividend							
142.					Sold	04/17/15	J	A	
143. -ING Global Real Estate Fund (Renamed- Voya Global Real Estate)	A	Dividend	J	T					
144.					Buy (add'l)	04/17/15	J		
145.					Sold (part)	08/14/15	J	A	
146. -Invesco Premier Institutional									
147.					Sold	08/14/15	J	A	
148. -Ivy Mid-Cap Growth	A	Dividend	J	T					
149.					Sold (part)	04/17/15	J	A	
150.					Buy (add'l)	08/14/15	J		
151. -John Hancock Disciplined Value Fund	A	Dividend	J	T					
152.					Buy (add'l)	04/17/15	J		
153.					Sold (part)	08/14/15	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
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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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)
154. -JP Morgan Dynamic Small Cap Growth	A	Dividend	J	T					
155.					Sold (part)	04/17/15	J	A	
156.					Buy (add'l)	08/14/15	J		
157. -Legg Mason WA Emerging Markets	A	Dividend	J	T					
158.					Buy (add'l)	04/17/15	J		
159.					Sold (part)	08/14/15	J		
160. -Mainstay Large Cap Growth	A	Dividend	J	T					
161.					Buy (add'l)	04/17/15	J		
162.					Sold (part)	05/20/15	J	A	
163.					Sold (part)	08/14/15	J	A	
164. -Managers Systematic Mid-Cap, Value- Renamed AMG Systematic Mid	A	Dividend	J	T					
165.					Sold (part)	04/17/15	J	A	
166.					Buy (add'l)	08/14/15	J		
167. -Metropolitan West Total Return	A	Dividend	J	T					
168.					Buy (add'l)	04/17/15	J		
169.					Buy (add'l)	08/14/15	J		
170. Pimco Foreign Bond Fund	A	Distribution	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 \$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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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)
171.					Buy (add'l)	08/14/15	J		
172. -PIMCO Short Term bond Fund	A	Dividend	J	T	Buy	08/14/15	J		
173. Riverpark/Westwood Fund	A	Dividend	J	T	Buy	05/20/15	J		
174.					Sold (part)	08/14/15	J	A	
175. -Virtus Insight Emerging Markets	A	Dividend	J	T					
176.					Buy (add'l)	04/17/15	J		
177.					Buy (add'l)	08/14/15	J		
178. USAA Trad. IRA former Morg. Stan. Trad. IRA No. 2 (holdings below)(H)									
179. -Pfizer, Inc.	A	Dividend	K	T					
180. -Citibank Bank Deposit Program	A	Dividend	J	T					
181.									
182. Payflex HSA - formerly AETNA HSA	A	Interest	K	T					
183.									

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

Lines 229 - 235 on the 2013 report reflected the sale of all stocks in the Morgan Stanley Traditional IRA No. 1. This account was closed with the sale of these stocks, but the report failed to reflect on line 229 that the account was closed. All proceeds were folded into the SEP IRA which began reporting on line 73 of the 2013 report. Please accept this as an amendment to my 2013 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/ **Robert S. Ballou**

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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