

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.		
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. Virginia CLE	January 8 - 11, 2017	Charlottesville, VA	Teach and judge mock trials at trial advocacy course	Food and lodging for three nights and food the fourth day.
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.)

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. USAA Bank	A	Interest	J	T					
2. First Citizens Bank	A	Interest	J	T					
3. Wells Fargo Bank - formerly reported as Wachovia/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. -Norfolk Southern Corp.	A	Dividend	K	T					
8. -Stanley Black & Decker	A	Dividend	K	T					
9. -Verizon Communications, Inc.	B	Dividend	K	T					
10. -Tweedy Browne Value Fund	C	Dividend	J	T					
11. USAA Money Market Fund	A	Dividend	J	T					
12.									
13. UTMA Account # 1 (holdings listed below) (H)									
14. -Marsico Growth Fund	B	Dividend	J	T					
15. -USAA Growth & Income Fund	A	Dividend	J	T					
16. -USAA Money Market Fund	A	Dividend	J	T					
17. UTMA Account # 2 (holdings listed 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 \$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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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. -Marsico Growth Fund	B	Dividend	J	T					
19. -USAA Growth & Income Fund	A	Dividend	J	T					
20. -USAA Money Market Fund	A	Dividend	J	T					
21.									
22. UTMA Account #3 (holdings listed below)(H)									
23. -USAA Growth & Income Fund	A	Dividend	J	T					
24. -USAA Money Market Fund	A	Dividend	J	T					
25.									
26. 403(b) Retirement Account (holdings listed below)(H)									
27. -JP Morgan Mid-Cap Value Fund	A	Dividend	K	T					
28. -Munder Mid Cap Core Growth-Y (formerly A class shares)	A	Dividend			Sold	08/14/18	K		
29. -Mass Mutual Select Mid-Cap Growth Class I	A	Dividend	K	T	Buy	08/14/18	K		
30. -American Funds EuroPac. Growth (R6) (Formerly R4 share class)	A	Dividend	K	T					
31. Metropolitan West Total Return Bond Plan	A	Dividend	J	T					
32. -Vanguard Institutional Index 500	A	Dividend	L	T					
33.									
34. Vanguard Retirement Account (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	
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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. -Vanguard Health Care Fund Investor Shares	D	Dividend	M	T					
36.									
37. T.Rowe Price Retirement Account (holdings below)(H)									
38. -T.Rowe Price Mid-Cap Growth Fund	D	Dividend	L	T					
39. -T. Rowe Price Science & Technology Fund	C	Dividend	J	T					
40. -T. Rowe Price Small-Cap Stock Fund	D	Dividend	K	T					
41. -T. Rowe Price Spectrum Growth Fund	B	Dividend	J	T					
42.									
43. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
44. -Va. 529 2021 Portfolio (Previously Chesapeake Fund)		None	K	T					
45.					Sold (part)	07/09/18	J	B	
46.					Sold (part)	12/17/18	J	C	
47. Va 529 Stock Index Fund		None	J	T					
48.					Sold (part)	07/09/18	J	A	
49.					Sold (part)	12/17/18	J	A	
50. -Va. 529 Aggressive Growth Fund		None	K	T					
51.					Sold (part)	07/09/18	J	C	

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		
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52.					Sold (part)	12/17/18	J	C	
53.									
54. Virginia 529 College Savings Plan # 2 (holdings below)(H)									
55. -Va. 529 2021 Portfolio (Previously Chesapeake Fund)		None	K	T					
56.					Sold (part)	08/06/18	J	B	
57.					Sold (part)	12/31/18	J	B	
58. Va 529 Stock Index Fund		None	J	T					
59.					Sold (part)	08/06/18	J	B	
60.					Sold (part)	12/31/18	J	B	
61. -Va. 529 Aggressive Growth Fund		None	K	T					
62.					Sold (part)	08/06/18	J	A	
63.					Sold (part)	12/31/18	J	A	
64.									
65. Virginia 529 College Savings Plan # 3 (holdings below)(H)									
66. -Va. 529 2021 Portfolio (Previously Chesapeake Fund)		None	K	T					
67. Va 529 Stock Index Fund		None	K	T					
68. -Va. 529 Aggressive Growth Fund		None	K	T					

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69.									
70. USAA SEP Acct. - formerly Morgan Stanley SEP (holdings below)(H)									
71. -USAA Money Market Fund	A	Dividend	J	T					
72. -AQR Managed Futures Strategy		None	J	T					
73. -Blackrock Low Dur. BD Inv. (Institutional Shs.)	A	Dividend	K	T					
74. -Causeway Int'l Value	B	Dividend	L	T					
75. -Center Coast MLP	A	Dividend	J	T					
76. -Delaware Investment Small Cap Value	B	Dividend	J	T					
77. -EV Income Fund of Boston	A	Dividend	J	T					
78. -Voya Global Real Estate- Formerly ING Global Real Estate Fund	A	Dividend	J	T					
79. -Ivy Mid Cap Growth	B	Dividend	J	T					
80. -John Hancock Dispicined Value (Inst. Shs.)	D	Dividend	L	T					
81. -John Hancock Seaport CL I	A	Dividend	K	T					
82. -JP Morgan Dynamic Small Cap Growth	B	Dividend	J	T					
83. -Mainstay Large Cap Growth	B	Dividend	K	T					
84. -AMG Systematic - Formerly Managers AMG System Mid-Cap Value	A	Dividend	J	T					
85. -Metropolitan West Total Return	A	Dividend	K	T					

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86. -Pimco Foreign Bond Fund	A	Dividend	J	T					
87. -Pimco Short Term Foreign Bond Fund	A	Dividend	J	T					
88. -Riverpark/Wedgewood Instl.	E	Dividend	K	T					
89. Virtus Insight Emerging Markets	B	Dividend	K	T					
90. -Blackstone Alternative Multi-Strategy Fund	A	Dividend	K	T					
91.									
92. USAA Roth IRA - formerly - Morgan Stanley Roth IRA (holdings below)(H)									
93. -USAA Money Market Fund	A	Dividend	J	T					
94. -AQR Managed Futures Strategy		None	J	T					
95. -Blackrock Low Duration Bnd. Fund	A	Dividend	J	T					
96. -Causeway Int'l Value Fund	A	Dividend	J	T					
97. -Center Coast MLP	A	Dividend	J	T					
98. -Delaware Inv. Sm. Cap. Value	A	Dividend	J	T					
99. -EV Income Fund of Boston	A	Dividend	J	T					
100. -Voya Global Real Estate formerly ING Global Real Estate Fund	A	Dividend	J	T					
101. -Ivy Mid-Cap Growth	A	Dividend	J	T					
102. -John Hancock Disciplined Value Fund	A	Dividend	J	T					

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103. -JP Morgan Dynamic Small Cap Growth	A	Dividend	J	T					
104. -Legg Mason WA Emerging Markets	A	Dividend			Sold	08/19/15	J	A	
105. -Mainstay Large Cap Growth	A	Dividend	J	T					
106. -AMG Systematic Mid Cap formerly Managers Systematic Mid-Cap.-	A	Dividend	J	T					
107. -Metropolitan West Total Return	A	Dividend	J	T					
108. Pimco Foreign Bond Fund	A	Dividend	J	T					
109. -Virtus Insight Emerging Markets	A	Dividend	J	T					
110. -Pimco Short Term Bond Fund	A	Dividend	J	T					
111. --Riverpark/Wedgewood Institutional Shares	A	Dividend	J	T					
112. -Blackstone Alternative Multi-Strategy Fund	A	Dividend	J	T					
113. -John Hancock Seaport Fund		None	J	T					
114.									
115. USAA Trad. IRA former Morg. Stan. Trad. IRA No. 2 (holdings below)(H)									
116. -Pfizer, Inc.	A	Dividend	K	T					
117. -USAA Money Market	A	Dividend	J	T					
118.					Sold (part)	08/21/18	J	A	
119. -T.Rowe Price Blue Chip Growth	A	Dividend	K	T	Buy	08/20/18	K		

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120. -T.Rowe Price Dividend Growth Fund	A	Dividend	K	T	Buy	08/20/18	K		
121. -Tweedy Browne Worldwide High Dividend Yield	A	Dividend	J	T	Buy	08/20/18	J		
122. -Vanguard Explorer Investor Class	B	Dividend	K	T	Buy	08/20/18	K		
123.									
124. Payflex HSA	A	Interest	K	T					
125.									

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.)*

Lines 28 and 29 - The transactions reflected in these lines reflect the transfer by the Retirement Account Manager for the 403(b) Retirement Account from the Munder Mid-Cap Core Growth fund into the Mass Mutual Select Mid-Cap Growth Fund. The retirement account does not report the basis for any particular mutual fund held in the account. Likewise, this transfer was the result of the account manager no longer investing in the Munder Mid-Cap Core Growth Fund and moving all of the monies held in the Munder fund into the Mass Mutual Select Mid-Cap Growth Funds. Thus, I have not tried to determine any particular gain or basis for this transaction because there was no gain as it was a straight transfer from one mutual fund to another.

Line 90 - The USAA SEP Account reports the Blackstone Alternative Multi-Strategy Fund for the first time. This fund was acquired for the first time on April 17, 2015 for less than \$15,000. I inadvertently failed to report this transaction on the 2015 report and each subsequent year. I still hold the fund with the account value accurately reflected. Income was distributed on this fund each year of less than \$1,000.00 annually. I reported this omission in this section rather than file an amended disclosure on reports already closed. I will file amended disclosure reports for the affected years if the Committee determines it necessary to do so.

The USAA Roth IRA (Lines 92-113) reports several corrections from years past for omissions which occurred initially on my 2015 report, and which were carried through in subsequent years. I have submitted these corrections in this section rather than file amended disclosures on reports already closed. I will file amended reports if the Committee determines is necessary to do so.

Line 104 - The Legg Mason Fund is reported as closed. This fund was acquired on July 7, 2014 and reported at that time. The fund was sold in total on August 19, 2015 was inadvertently omitted from the 2015 report. The total gain from that sale was less than \$1,000.00.

Line 110 - The Pimco Short Term Bond Fund is reported for the first time this year. It was initially acquired on August 14, 2015 for a total value of less than \$15,000. I continue to hold that fund. The value is currently reflected. Each year I held the fund, income in the form of dividends was paid in an annual amount of less than \$1,000.00.

Line 111 - The Riverpark/Wedgewood Fund is reported for the first time this year. It was initially acquired on May 5, 2015 for a total value of less than \$15,000. I continue to hold that fund. The value is currently reflected. Each year I held the fund, income in the form of dividends was paid in an annual amount of less than \$1,000.00.

Line 112 - The Blackstone Alternative Multi-Strategy Fund is reported for the first time this year. It was initially acquired on April 17, 2015 for less than \$15,000. I continue to hold that fund. The value is currently reflected. Each year I held the fund, income in the form of dividends was paid in an annual amount of less than \$1,000.00.

Line 113 - The John Hancock Seaport Fund is reported for the first time this year. It was initially acquired on August 14, 2015 for a total value of less than \$15,000. I continue to hold this fund. The value is currently reflected in this report. Each year I have held the fund, income in the form of dividends was paid in the annual amount of less than \$1,000.00. The fund paid no income in 2018.

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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
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