

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Urbanski, Michael F.	2. Court or Organization U.S. District Court - Western District of Virginia	3. Date of Report 05/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 210 Franklin Road, SW Roanoke, VA 24011-2208		
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. Co-Trustee	Trust #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.	
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. 2019	- part-time (wages)
2. 2019	Gardener - self-employed (occasional)
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 5-10, 2019	Charlottesville, VA	National Trial Advocacy College (teaching/mock trial judging)	Meals, Lodging
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1. Individual Assets (H)									
2. Wells Fargo Bank (cash)	A	Interest	M	T					
3. Parkway Acquisition Corp. PKKW:US - Common Stock	A	Dividend	K	T					
4. MetLife Policyholder Trust	A	Dividend	J	T					
5. Real Estate/ Carroll Co., VA (1/2 interest)		None	L	W					
6. Northwestern Mutual - Ordinary Life (whole life)	B	Dividend	K	T					
7. Northwestern Mutual - Custom CompLife (whole life)	C	Dividend	L	T					
8. Northwestern Mutual - Term to Age 65 (whole life)	B	Dividend	K	T					
9. Northwestern Mutual - 90 Life (whole life)	B	Dividend	K	T					
10. Baltimore Life Insurance Co Policy (whole life) (X)	B	Dividend			Redeemed	04/02/19	J		
11. AXA Group IRA Equivest 100 Series (variable annuity) (H)									
12. AXA Equitable IRA/Multimanager Aggressive Equity Fund		None	J	T					
13. Trust #1 (H)									
14. USAA Life Ins. Co. Annuity (fixed) #1 (formerly #2)	A	Interest	J	T					
15. USAA Life Ins. Co. Annuity (fixed) #2 (formerly #3)	A	Interest	J	T					
16. USAA Life Ins. Co. Annuity (fixed) #3 (formerly #4)		None	M	T					
17. Ist Advantage Federal Credit Union (cash)	A	Dividend	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	

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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)
18. American General Life Insurance - Whole Life	A	Dividend	J	T					
19. JPMorgan Ultra-Short Income (JPST)	A	Dividend	J	T	Buy	07/31/19	J		
20. Proshares Russell 2000 Div Growers (SMDV)	A	Dividend	J	T	Buy	07/25/19	J		
21.					Buy (add'l)	07/29/19	J		
22. Invesco High Yield Muni. Fd CL Y (ACTDX)	A	Dividend	K	T	Buy (add'l)	11/20/19	J		
23. American Limited Term Tax Exempt Bond Fund F2 (LTEFX)	A	Dividend	J	T	Buy	11/20/19	J		
24. Brookfield Funds Center Coast MLP Focus Y (CCCNX)	A	Dividend	J	T	Buy	07/25/19	J		
25. API Funds, Yorktown Multi-Asset Income Fund (APIIX)	A	Dividend			Sold	07/25/19	K		
26. Delaware Grp Global & Intl Funds Emerging Markets Fd. (DEMIX)	A	Dividend	K	T					
27. Dodge & Cox Income Fund (DODIX)	A	Dividend	J	T					
28. Edgewood Funds Growth Fund I (EGFIX)	A	Dividend	K	T	Buy	07/25/19	K		
29.					Buy (add'l)	07/30/19	J		
30. Federated Funds Kaufmann Small Cap Fund I (FKAIX)	A	Dividend	J	T	Buy	07/25/19	J		
31.					Buy (add'l)	07/29/19	J		
32. Federated Equity Funds, Strategic Value Divid. Fd. Instl (SVAIX)	A	Dividend			Sold	07/25/19	K		
33. American Funds New World Fund F2 (NFFFX)	A	Dividend	J	T	Buy	07/25/19	J		
34. Legg Mason Funds Clearbridge Intl Grwth I (LMGNX)	A	Dividend	J	T	Buy	11/20/19	J		

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35. JPMorgan TR II Equity Income Fund I (HLIEX)	A	Dividend	K	T	Buy	07/25/19	K		
36.					Buy (add'l)	07/30/19	K		
37. JPMorgan TR II Small Cap Growth Fund I (JISGX)	A	Dividend	J	T	Buy	07/25/19	J		
38.					Buy (add'l)	07/29/19	J		
39. JPMorgan TR I Emerging Markets Equity Fund L (JMIEX)	A	Dividend	K	T	Buy	07/25/19	J		
40.					Buy (add'l)	07/29/19	J		
41.					Buy (add'l)	11/20/19	J		
42. Janus Invt Fd. Henderson Global Equity Income CL I (HFQIX)	A	Dividend			Sold	11/15/19	J		
43. Legg Mason Clrbdr Agg Growth 1 (SAGYX)		None			Sold	07/25/19	K	D	
44. Pimco Intl Bond Fund US Dollar Hedged Inst (PFORX)	A	Dividend	J	T	Buy	07/25/19	J		
45. Pimco Fds Pac Invt Mgmt Ser Emerg Mkts (PEBIX)	A	Dividend	J	T	Buy	07/25/19	J		
46.					Buy (add'l)	07/29/19	J		
47. T. Rowe Price Real Estate Fund (TRREX)	A	Dividend			Sold	07/25/19	J		
48. Touchstone Mid Cap Inst. (TMCPX)	A	Dividend	K	T					
49. Undiscovered Mgrs Behavioral Value I (UBVLX)	B	Dividend	K	T					
50. CUNA Single Premium Immediate Income Annuity (fixed)		None	M	T					

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

Part VII, lines 16 and 50: These items do not generate reportable income as defined on page 41 of the filing instructions.

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.

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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/ **Michael F. Urbanski**

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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