

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) Keenan, Barbara M.	2. Court or Organization U.S. Court of Appeals, 4th Circuit	3. Date of Report 04/27/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 1100 East Main Street Richmond, VA 23219		
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. Trustee	Trust #1
2. Trustee	Trust #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. 2010	Commonwealth of Virginia Defined Benefit Retirement Plan
2.	
3.	

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Name of Person Reporting

Keenan, Barbara M.

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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. 2019	Retirement Income - Commonwealth of Virginia	\$158,237.00
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. 2019	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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Keenan, Barbara M.	04/27/2020

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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Name of Person Reporting

Keenan, Barbara M.

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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. Individual Assets (H)									
2. Bank of America (cash)	A	Interest	O	T					
3. BB&T (cash)	A	Interest	L	T					
4. Rental Property: Jefferson County, WV	C	Rent	P1	W					
5. Trust Account #1 (H)									
6. Wells Fargo Sweep Account (cash)	A	Interest	L	T					
7. AT & T (T)	C	Dividend	L	T					
8. Charter Communications Inc A (CHTR)		None	L	T					
9. Cigna Corp (CI)	A	Dividend	J	T					
10. Cisco Systems-common stock (CSCO)	C	Dividend	M	T					
11. Coca Cola Corp.-common stock (KO)	A	Dividend	K	T					
12. Dominion Resources - common stock (D)	D	Dividend	M	T					
13. Freeport McMoran-common stock (FCX)	A	Dividend	K	T					
14. Glaxo SmithKline-common stock (GSK)	A	Dividend	J	T					
15. Merk & Co.-common stock (MRK)	B	Dividend	L	T					
16. Pfizer Inc.-common stock (PFE)	D	Dividend	M	T					
17. Amer Balanced FD CL A (ABALX)	D	Dividend	L	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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☐ 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)
18. Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
19. Capital World Bond FD CL A (CWBFX)	A	Dividend	K	T					
20. Capital World Growth & Income FD Inc Class A (CWGIX)	A	Dividend	K	T					
21. Income Fund Amer Inc Class A (AMECX)	B	Dividend	K	T					
22. Short Term Bond Fd Amer Inc Shares Class A (ASBAX)	C	Dividend	N	T					
23. Brokerage Account #1 (H)									
24. Wells Fargo Sweep Account (cash) (Y)									
25. SPDR S&P 500 ETF Trust (SPY)	A	Dividend			Sold (part)	06/04/19	L		
26.					Sold	06/04/19	K		
27. SSGA Active Multi Asset Fund (RLY)	A	Dividend	J	T					
28. Vanguard INTL EQTY ET Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
29. Vanguard Total Bond Market Per Advisor (BND)	A	Dividend	J	T					
30. Amer Balanced FD CL A (ABALX)	C	Dividend	K	T	Buy (add'l)	06/04/19	K		
31. Capital Income BLDR Cl A (CAIBX)	B	Dividend	J	T	Buy (add'l)	06/04/19	K		
32. Financial Invs TR Listed Private Equity (LPEIX)	A	Dividend	J	T					
33. Trust for Professional Managers Marketfield Fund Class I (MFLDX)	A	Dividend	J	T					
34. Brokerage Account #2 (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. Wells Fargo Sweep Account (cash)	A	Interest	L	T					
36. Coca Cola Co.-common stock (KO)	A	Dividend	K	T					
37. Dominion Resources - common stock (D)	D	Dividend	M	T					
38. Intel Corp.-common stock (INTC)	B	Dividend	L	T					
39. IBM-common stock (IBM)	B	Dividend	K	T					
40. Pfizer Inc.-common stock (PFE)	C	Dividend	M	T					
41. SPDR S&P ETF Trust (SPY)	B	Dividend	L	T					
42. SSGA Active Multi Asset (RLY)	A	Dividend	J	T					
43. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
44. Vanguard Total Bond Market (BND)	A	Dividend	K	T					
45. US Treasury Bill (912796RF8)		None			Buy	07/01/19	L		
46.					Redeemed	10/10/19	L		
47. US Treasury Bill (912796QM4)		None			Buy	01/25/19	L		
48.					Redeemed	06/20/19	L		
49. Amer Balanced FD CL A (ABALX)	D	Dividend	N	T					
50. American Funds Inflation Linked Bond Fun CL A (BFIAX)	A	Dividend	K	T					
51. American FDS Global Balanced FD CL A (GBLAX)	D	Dividend	N	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	
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52. Amer Mutual FD Inc A (AMRMX)	C	Dividend	L	T					
53. American Fds Short Term Tax Exempt Bd A (ASTEX)	C	Dividend	N	T					
54. Financial INVS TR Listed Private Equity ED (LPEIX)	A	Dividend	J	T					
55. Fundamental INVS Inc Class A (ANCFX)	D	Dividend	M	T					
56. Trust for Professional Managers Marketfield Fund Class I (MFLDX)	A	Dividend	J	T					
57. Trust Account #2 (H)									
58. Wells Fargo Sweep (cash)	A	Interest	M	T					
59. Altria Group - common stock (MO)	A	Dividend	K	T					
60. Boeing Co. - common stock (BA)	B	Dividend	L	T					
61. Cisco Systems Inc. - common stock (CSCO)	A	Dividend	J	T					
62. Freeport - McMoran Copper and Gold inc. - common stock (FCX)	A	Dividend	K	T					
63. HP Inc (HPQ)	A	Dividend	J	T					
64. IBM - common stock (IBM)	A	Dividend	J	T					
65. Kraft Food Group - common stock (KHC)	A	Dividend	J	T					
66. Marriott Int'l - common stock (MAR)	A	Dividend	L	T					
67. Marriott Vacations Worldwide Corp. - common stock (VAC)	A	Dividend	J	T					
68. Merck & Co. - common stock (MRK)	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
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69. Mondelez Int'l Inc. - common stock (MDLZ)	A	Dividend	J	T					
70. Mylan Inc. - common stock (MYL)		None	J	T					
71. Pfizer - common stock (PFE)	E	Dividend	P1	T					
72. Philip Morris International - common stock (PM)	B	Dividend	K	T					
73. 3 M Co. - common stock (MMM)	A	Dividend	K	T					
74. US Treasury Bill (912796QM4)		None			Buy	01/25/19	M		
75.					Redeemed	06/20/19	M		
76. US Treasury Bill (912796SY6)		None			Buy	07/01/19	M		
77.					Redeemed	12/26/19	M		
78. Amer Balanced FD CL A (ABALX)	D	Dividend	M	T					
79. Capital World Bond FD (CWBFX)	B	Dividend	L	T					
80. Capital World Growth & Income Fd Inc (CWGIX)	D	Dividend	M	T					
81. MFS Municipal - Open End Mutual Fund (MMIDX)	C	Dividend	L	T					
82. Touchtone FDS Group TR Ultra Short Duration (SSSGX)	A	Dividend	K	T					
83. Eaton Vance Senior -Floating Rate Fund - Closed End Mut. (EFR)	A	Dividend	J	T					
84. Federal Premier Municipal Income Fund (FMN)	A	Dividend	J	T					
85. Brokerage Account #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
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☐

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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)	(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)
86. Wells Fargo Sweep Acct (cash) (Y)									
87. SPDR S&P 500 ETF Trust (SPY)	A	Dividend			Sold (part)	06/04/19	K		
88.					Sold	06/04/19	K	A	
89. SSGA Active Multi Asset Real Return (RLY)	A	Dividend	J	T					
90. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend	J	T					
91. Vanguard Total Bond Mkt Per Advisor (BND)	A	Dividend	K	T					
92. Amer Balanced Fd Cl (ABALX)	B	Dividend	K	T	Buy	06/04/19	K		
93. Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T	Buy	06/04/19	K		
94. Capital World Growth & Income Fd Inc (CWGIX)	A	Dividend	J	T					
95. Financial INVS TR Listed Private Equity ED (LPEIX)	A	Dividend	J	T					
96. Trust for Professional Managers Marketfield Fund Class I (MFLDX)	A	Dividend	J	T					
97. VIRGINIA CASH MATCH PLAN 401(A) #1 (H)									
98. Target Date 2030 Portfolio		None	J	T					
99. COMMONWEALTH OF VA 457 DEFERRED COMP PLAN #1 (H)									
100. Target Date 2030 Portfolio		None	O	T					
101. VIRGINIA CASH MATCH PLAN 401(A) #2 (H)									
102. Target Date 2030 Portfolio		None	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(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)
103. COMMONWEALTH OF VA 457 DEFERRED COMP PLAN #2 (H)									
104. Target Date 2030 Portfolio		None	O	T					
105. Brokerage Account #4 (H)									
106. American FDS Portfolio Growth & Income Fund Class A (GAIOX)	B	Dividend	K	T	Sold (part)	11/08/19	J	A	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

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G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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

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/ **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
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