

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) Motz, Diana G.	2. Court or Organization Fourth Circuit Court of Appeals	3. Date of Report 05/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Fourth Circuit 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 U.S. Courthouse 101 West Lombard St., 5th Fl. Baltimore, Maryland 21201		
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. Custodian	College Savings Plans for [REDACTED]
2. Trustee	Generation Skipping Trust for Children (GST)
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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Name of Person Reporting

Motz, Diana G.

Date of Report

05/13/2020

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. USC Gould School of Law	April 8-14, 2019	Los Angeles, CA	Jurist-in-residence program	Transportation, hotel, meals
2. ACS	June 6, 2019	Washington, DC	ACS National Convention	Transportation, meals
3. ASIL	November 22, 2019	Washington, DC	ASIL Meeting	Transportation, meals
4.				
5.				

Name of Person Reporting	Date of Report
Motz, Diana G.	05/13/2020

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.		

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. Altria Group Inc (MO)	B	Dividend	K	T					
2. Apple Inc (AAPL)	D	Dividend	O	T					
3. AT&T (T)	C	Dividend	L	T					
4. Campbell Soup Co (CPB)	A	Dividend	J	U					
5. Chevron Corp (CVX)	B	Dividend	K	T					
6. CVS Corp (CVS)	B	Dividend	K	T					
7. DFA T A World Ex US Core Equity (DFTWX)	B	Int./Div.	L	T					
8. DFA Targeted Credit Portfolio (DTCPX) (IRA)	B	Int./Div.			Sold (part)	07/29/19	L	B	
9.					Sold	11/01/19	L	B	
10. Duke Realty Corp (DRE)	B	Dividend	K	T					
11. Exxon Mobil Corporation (XOM)	D	Dividend	M	T					
12. FFCB Bond 3.32% 3/22/2024 (3133EJHF9) (IRA)	A	Interest			Redeemed	02/20/19	K	A	
13. Fidelity 500 Index Fund Intl Premium (FXAIX)	D	Int./Div.	O	T	Sold (part)	04/12/19	K	E	
14. Fidelity Conservative Income Muni Bond (FMNDX)	A	Int./Div.	L	T	Buy	11/01/19	K		
15. Fidelity Emerging Markets Index (FPADX)	B	Int./Div.	K	T					
16. Fidelity Extended Market Index Instl Premium (FSMAX)	C	Int./Div.	L	T	Sold (part)	09/13/19	K	D	
17. Fidelity Cash Reserves (FDRXX) (IRA)	A	Int./Div.			Sold	02/25/19	M	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

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.)

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)
18. Fidelity Inflation Protected Bd Index Instl Premium (FIPDX) (IRA)	C	Int./Div.	M	T	Buy (add'l)	02/25/19	L		
19. Fidelity Interm Treasury Bond Index Instl Premium (FUAMX) (IRA)	A	Int./Div.			Sold	04/12/19	K	A	
20. Fidelity Md Municipal Income (SMDMX)	C	Int./Div.	M	T					
21. Fidelity Tax Free Bond (FTABX)	B	Int./Div.	L	T	Buy	04/12/19	K		
22. Fidelity Treasury Fund (FZFXX)	D	Int./Div.	M	T					
23. General Electric Company (GE)	A	Dividend	J	T					
24. International Business Machines (IBM)	D	Dividend	M	T					
25. Invesco National AMT-Free Municipal Bond (PZA)	B	Int./Div.	L	T					
26. Invesco S&P 500 Equal Weight (RSP)	C	Int./Div.	M	T					
27. Invesco Variable Rate Investment Grade (VRIG)	A	Int./Div.	M	T	Buy	11/01/19	L		
28.					Buy (add'l)	12/11/19	L		
29. iShares 0-5 Year Investment Grade Corporate Bond (SLQD)	B	Int./Div.			Buy	02/25/19	L		
30.					Sold	12/11/19	L		
31. iShares Core MSCI EAFE (IEFA) (IRA)	A	Int./Div.			Sold	07/29/19	J	A	
32. iShares Core MSCI Emerging Markets (IEMG)	A	Int./Div.	K	T					
33. iShares Core S&P 500 (IVV) (IRA)	D	Int./Div.	O	T	Sold (part)	02/25/19	K	C	
34. iShares Core S&P Small-Cap (IJR)	C	Int./Div.	M	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

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	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)
35. iShares MBS ETF (MBB)	A	Int./Div.	M	T	Buy	12/11/19	M		
36. iShares MSCI EAFE Small Cap Index (SCZ)	B	Int./Div.	K	T					
37. iShares MSCI Emerging Mkts Minimum Volatility Index (EEMV)	D	Int./Div.	M	T					
38. iShares Russell 1000 ETF (IWB)	D	Int./Div.	N	T					
39. iShares Russell 2000 ETF (IWM)	A	Int./Div.	K	T					
40. iShares S&P 100 (OEF)	C	Int./Div.	M	T					
41. iShares S&P 500 Value (IVE)	D	Int./Div.	N	T					
42. iShares S&P Small-Cap 600 Value (IJS)	B	Int./Div.	M	T					
43. JPMorgan Ultra-Short Income ETF (JPST) (IRA)	A	Int./Div.	L	T	Buy	07/29/19	L		
44. Kraft Heinz Company (KHC)	A	Dividend	J	T					
45. Merck & Co Inc (MRK)	B	Dividend	K	T					
46. Mondelez Intl Inc (MDLZ)	A	Dividend	K	T					
47. Nuveen Credit Strategies Income Fund (JQC) (IRA)	B	Int./Div.			Sold	02/25/19	L	A	
48. Nuveen MD Quality Mun Income Fd (NMY)	C	Int./Div.	M	T					
49. Nuveen Select Tax-Free Income (NXQ)	C	Int./Div.	L	T					
50. Nuveen Taxable Municipal Income Closed-End Fund (NBB) (IRA)	B	Int./Div.			Merged (with line 54)	02/08/19	L		
51.					Sold (part)	04/12/19	K	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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52.					Sold (part)	05/29/19	K	C	
53.					Sold	06/03/19	K	B	
54. Nuveen Taxable Mini Submit for Tender Exp: 2/12/2019 (6709987) (IRA)	A	Int./Div.			Sold	02/19/19	L	D	
55. Olin Corp (OLN)	A	Dividend	J	T					
56. Pepsico Incorporated (PEP)	C	Dividend	M	T					
57. Philip Morris International Inc. (PM)	B	Dividend	K	T					
58. PIMCO Income Instl (PIMIX) (IRA)	D	Int./Div.	L	T					
59. SPDR S&P 500 Trust (SPY)	C	Int./Div.	N	T					
60. Stanley Black & Decker Inc (SWK)	B	Dividend	M	T					
61. Stone Ridge Reinsurance Risk Premium (SRRIX) (IRA)	B	Int./Div.	M	T					
62. T Rowe Price MD Tax Free Bond (MDXBX)	D	Int./Div.	N	T					
63. T Rowe Price Value (TRVLX)	B	Int./Div.	M	T					
64. T Rowe Price Group Inc (TROW)	D	Dividend	N	T					
65. Union Pacific Corp (UNP)	D	Dividend	N	T					
66. Vanguard FTSE Developed Markets (VEA)	D	Int./Div.	M	T					
67. Vanguard GNMA Admiral (VFIJX) (IRA)	B	Int./Div.	M	T	Buy	04/12/19	L		
68.					Buy (add'l)	06/03/19	L		

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.)

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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 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)
69. Vanguard High-Yield Tax-Exempt Admiral (VWALX)	D	Int./Div.	M	T					
70. Vanguard Large Cap (VV)	C	Int./Div.	M	T					
71. Vanguard Short Term Corp Bond (VCSH) (IRA)	B	Int./Div.			Buy	04/12/19	M		
72.					Sold	12/11/19	M	B	
73. Wabtec Corporation (WAB)	A	Dividend	J	T	Spinoff (from line 23)	02/26/19	J		
74.					Sold (part)	02/28/19	J	A	
75. Washington Real Estate (WRE)	C	Dividend	L	T					
76. Western Asset High Income Opportunity Fund (HIO) (IRA)	A	Int./Div.			Sold	02/25/19	K	B	
77. Yum China Holdings Inc (YUMC)	A	Dividend	K	T					
78. Yum! Brands Inc (YUM)	B	Dividend	L	T					
79. 529 - Bond & Income Portfolio (CUST)	A	Int./Div.	K	T	Sold (part)	12/31/19	M		
80. 529 - Global Equity Mkt Index Port (CUST)	A	Int./Div.	L	T	Buy	12/31/19	L		
81. 529 - Portfolio 2027 (CUST)	A	Int./Div.			Sold	12/31/19	M		
82. 529 - Portfolio 2030 (CUST)	A	Int./Div.			Sold	12/31/19	L		
83. 529 - Vanguard Interest Accumulation Portfolio (CUST)	A	Int./Div.	L	T	Sold (part)	04/16/19	J		
84.					Buy (add'l)	12/31/19	K		
85. 529 - Vanguard Total Bond Market Index Port (CUST)	A	Int./Div.	M	T	Buy (add'l)	04/16/19	K		

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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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86.					Sold (part)	12/31/19	K		
87. 529 - Vanguard Total International Stock Index Port (CUST)	A	Int./Div.	L	T	Sold (part)	04/16/19	J		
88.					Sold (part)	12/31/19	J		
89. 529 - Vanguard Total Stock Market Index Portfolio (CUST)	A	Int./Div.	M	T	Sold (part)	04/16/19	K		
90.					Sold (part)	12/31/19	J		
91. 529 - Equity Index 500 Portfolio	A	Int./Div.	M	T	Buy	12/31/19	M		
92. 529 - US Bond enhanced Index Portfolio (CUST)	A	Int./Div.	M	T	Buy	12/31/19	M		
93. -TRP Blue Chip Growth (TRBCX) (GST)	B	Int./Div.	N	T					
94. - TRP Int Bond (RPIBX) (GST)	A	Int./Div.	K	T					
95. - TRP Int Stock (PRITX) (GST)	B	Int./Div.	K	T					
96. - TRP Equity Income (PRFDX) (GST)	D	Int./Div.	M	T					
97. - TRP Global Stock (PRGSX) (GST)	B	Int./Div.	M	T					
98. - TRP Growth Stock (PRGFX) (GST)	D	Int./Div.	N	T					
99. - TRP New Era (PRNEX) (GST)	A	Int./Div.	K	T					
100. - TRP Government Money (PRRXX) (GST)	C	Int./Div.	M	T					
101. - TRP Spectrum Growth (PRSGX) (GST)	E	Int./Div.	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

- Fidelity Emerging Markets Index (FPADX) on line 17 of the 2019 report was purchased on 12/31/2018 and mistakenly left out of the 2018 report
- Wabtec Corporation (WAB) on line 73 of the 2019 report, was a spinoff from General Electric Company (GE) on line 23 of the 2019 report
- Nuveen Taxable Municipal Income Closed-End Fund (NBB) on line 50 of the 2019 report, was partially tendered into Nuveen Taxable Mini Submit for Tender Exp: 2/12/2019 (6709987) on line 54 of the 2019 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/ **Diana G. Motz**

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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