

**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) Payne, Robert E.	2. Court or Organization United States District Court Eastern District of Virginia	3. Date of Report 09/14/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Article III Judge	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 United States District Court 701 E. Broad Street, Suite 7310 Richmond, Virginia 23219		
IMPORTANT NOTES: <i>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>		

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Payne, Robert E.

Date of Report

09/14/2021

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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Payne, Robert E.	09/14/2021

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.	American Expresss	Credit card	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

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Date of Report

09/14/2021

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. IRA #1									
2. --Abbey Cptl Futures Strategy		None	K	T					
3. --AB Small Cap Grw Adv		None	J	T					
4. --AMG Mngrs Silvercrest		None	J	T					
5. --Artisan Mid Cap Adv		None	J	T	Sold (part)	05/14/19	J	A	
6. -- Artisan Mid Cap Value Fund		None	J	T					
7. --Blackstone Alt Mult-Strat		None	K	T	Buy (add'l)	12/24/19	J		
8. --Calamos Market Neutral Inc		None	J	T					
9. --Center Coast MLP Focus		None	J	T	Sold (part)	06/26/19	J		
10.					Buy (add'l)	12/17/19	J		
11. --Cullen High Dividend Equity		None	K	T					
12. --Invesco Opp Intl Growth Y		None	K	T	Sold (part)	05/14/19	J		
13.		None			Sold (part)	06/26/19	J		
14. -- Janus (Henderson) Flexible Bond		None	L	T	Sold (part)	05/14/19	J		
15. --Lazard Emerg Mkts Core		None	K	T	Buy (add'l)	06/28/19	J		
16. -- Loomis Growth Y		None	K	T	Buy	11/22/19	K		
17. --Matthews Asian Japan Inv		None	J	T	Sold (part)	06/26/19	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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09/14/2021

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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. --MFS Int'l Intrinsic Value I		None	K	T	Sold (part)	05/14/19	J		
19.	A	Dividend			Sold (part)	06/26/19	J	A	
20. --Oakmark Fund Advisor		None	K	T					
21. --Oakmark International Advisor	A	Dividend	K	T	Sold (part)	06/26/19	J	A	
22. -- Oppenheimer Int'l Growth Fund		None			Sold	05/14/19	J		
23. --Pimco Real Return		None	J	T					
24. --Pimco Short Term		None	L	T	Sold (part)	05/14/19	J		
25.					Buy (add'l)	06/28/19	K		
26.					Buy (add'l)	12/24/19	J		
27. --Polen Growth Institutional	B	Dividend	K	T	Sold (part)	05/14/19	J	B	
28. --Riverpark/Wedgewood Inst		None			Sold (part)	05/14/19	J		
29.					Sold	11/20/19	J		
30. --Virtus MultiSector Short Term Bond		None	L	T	Sold (part)	05/14/19	J		
31.					Buy (add'l)	12/17/19	J		
32.					Buy (add'l)	12/24/19	J		
33. Wells Fargo Emerg Mrk		None	K	T	Buy (add'l)	06/28/19	J		
34.									

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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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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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)
35. IRA #2									
36. --AB Small Cap Grw Adv		None	J	T					
37. -- Artisan Midcap Value		None	J	T					
38. -- Aston/Montag & Caldwell Growth		None	J	T					
39. --Aston Silvercrest Small Cap		None	J	T					
40. -- Blackrock Equity Div. A		None	J	T					
41. --Blackrock Inflation Prot Bond		None	J	T					
42. -- Columbia Select LG CP Growth		None	J	T					
43. -- Invesco Opp Intl Growth (X)		None	K	T					
44. -- Ivy Mid Cap Growth		None	K	T					
45. -- Lazard Emerging Markets Fund		None	J	T					
46. --Matthews Asian Japan Inv	A	Dividend	J	T	Sold (part)	04/18/19	J	A	
47. --MFS Int'l Value	A	Dividend	K	T	Sold (part)	04/18/19	J	A	
48. -- Oakmark Fund Advisor		None	J	T					
49. -- Oppenheimer Int'l Growth Fund	A	Dividend			Sold	04/18/19	J	A	
50. -- Pimco Long Term Credit Bd		None	J	T	Buy	04/18/19	J		
51. -- Pimco Low Duration A		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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Payne, Robert E.

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09/14/2021

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52. --Pimco Short Term		None	J	T					
53. -- Virtus MultiSect Short Term Bond		None	J	T					
54. -- Virtus Vontobel Merg Mkt Opp		None	J	T					
55. -- Western Asset Core Plus Portfolio		None	J	T					
56.									
57. BROKERAGE ACCOUNT #1									
58. --Allergan Plc		None	J	T					
59. -- Anadarko Pete (APC)	D	Dividend			Redeemed	08/09/19	J	D	
60. -- Autodesk Inc.	A	Dividend	J	T	Sold (part)	05/29/19	J	A	
61. -- Biogen		None	J	T					
62. -- Broadcom Inc.		None	J	T	Buy (add'l)	06/18/19	J		
63. -- Citrix Systems Inc.		None	J	T					
64. -- Comcast Corp		None	J	T					
65. -- Cree Research Inc		None	J	T					
66. --Discovery Communications		None	J	T					
67. -- Dolby Cla		None	J	T					
68. -- Fireeye Inc (X)		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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69. -- Fluor Corp		None	J	T	Buy (add'l)	02/04/19	J		
70. -- Freeport McMoran		None	J	T					
71. -- Ionis Pharmaceuticals Inc		None	J	T					
72. --Ishares Core S&P U.S. Growth	A	Dividend			Sold	01/31/19	J	A	
73. --Ishares Russell 1000 Value ETF	D	Dividend			Sold	01/31/19	L	D	
74. --Johnson Ctls Intl Plc		None	J	T					
75. -- L-3 Harris Technologies Inc (formerly L-3 Technologies Inc)		None	J	T					
76. --Liberty Media C Ser C Siriusxm		None	J	T					
77. --Medtronic PLC SHS		None	J	T					
78. -- National Oilwell Varco Inc.		None	J	T					
79. --Nuance Communications Inc		None	J	T					
80. -- Nucor Corp		None	J	T					
81. -- Pentair Ltd		None	J	T					
82. --Qurate Retail Inc Ser A (Y)									
83. -- Seagate Technology, Inc.		None	J	T					
84. -- TE Connectivity Ltd		None	J	T					
85. --Twitter Inc		None	J	T	Buy (add'l)	02/11/19	J		

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86. -- UnitedHealth Gp Inc		None	J	T					
87. -- Vertex Pharmaceuticals		None	J	T					
88. --Western Digital Corporation		None	J	T	Buy (add'l)	11/22/19	J		
89.									
90. BROKERAGE ACCOUNT #2									
91. -- MorganStanley - Cash	A	Interest	J	T					
92. -- Western Asset Managed Municipal		None	J	T					
93.									
94.									
95.									
96.									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Payne, Robert E.

Date of Report

09/14/2021

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

1. NAME CHANGE: Invesco Opp Intl Growth, page 4, line 12, is a name change of the asset, Invesco Dynamic Large Cap Value, page 5, line 18, on the 2018 Annual Report.
2. The asset, Invesco Opp Intl Growth, page 6, line 43, appears in the 2019 Annual Report because it increased in value to over \$1,000. It did not appear in the 2018 Annual Report because its value as of 12/31/2018 was under \$1,000.
3. NAME CHANGE: The asset, Virtus Vontobel Emerg Makt Opp, page 7, line 54, is a name change of the asset, Virtus Insight Emergk Mkts, page 8, line 70 on the 2018 Annual Report.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Payne, Robert E.

Date of 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 E. Payne**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544