

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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) Floyd, Henry F.	2. Court or Organization U.S. Court of Appeals for the Fourth Circuit	3. Date of Report 05/15/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 201 Magnolia Street Spartanburg, SC 29306		
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. 1992	S.C. Judges and Solicitors Retirement System, retirement fund payable upon retirement at age 55
2.	
3.	

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Name of Person Reporting

Floyd, Henry F.

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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. 2020	Judges & Solicitors Retirement System - retirement	\$133,780.00
2. 2020	Wofford College, Teaching income	\$5,000.00
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.				

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Floyd, Henry F.	05/15/2021

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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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. Southern Company common stock	A	Dividend	K	T					
2. South State Bank account (formerly SCBT)	A	Interest	M	T					
3. New York Life - Variable Universal Life Policy (H)									
4. -MainStay VP Capital Appreciation	B	Dividend	K	T					
5. -MainStay VP High Yield Corp. Bond	B	Dividend	K	T					
6. SunTrust Bank Accounts	A	Interest	M	T					
7. Pickens County, SC inherited/gifted real estate		None	P1	S					See Part VIII
8. First Citizens Bank account	A	Interest	J	T					
9. AMERIPRISE BROKERAGE NQ #2001 (H)									
10. -AMERIPRISE MONEY MARKET	A	Interest	J	T	Sold (part)	10/19/20	J	A	
11. AMERIPRISE IRA #9135 (H)									
12. - Investment REIT Highlands	A	Dividend	J	T					
13. -Investment REIT RENAMED INVENTRUST (X)	A	Dividend	J	T					
14. -AMERIPRISE MONEY MARKET	A	Interest	J	T	Buy (add'l)	10/16/20	J		
15. Ameriprise IRA Brokerage ADP #2241 (H)									
16. -DELAWARE U S GROWTH INSTL CL	A	Dividend			Sold	12/21/20	J	A	
17. -MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	08/14/20	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	

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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)
18. -MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z					Sold (part)	12/2/20	J	C	
19. - ACTIVE PORTFOLIO MULTI MANAGER TOTAL RETURN BOND CL A RECLASS Z	A	Dividend			Sold	12/2/20	J	A	
20. - WELLS FARGO EMERGING MARKETS EQUITY INSTL CL	A	Dividend	J	T	Buy (add'l)	11/13/20	J		
21. -Active Portfolio Multi Manager Growth Mutual Fund CL A RECLASS Z	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
22. -Active Portfolio Multi Manager Growth Mutual Fund CL A RECLASS Z			J	T	Sold (part)	11/13/20	J	B	
23. -Active Portfolio Multi Manager Small Cap Eq Mutual Fnd CL RECLASS Z	A	Dividend			Sold	11/13/20	J	B	
24. -Active Portfolio Multi Manager Value Mutual fund CL A RECLASS Z	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
25. -Active Portfolio Multi Manager Value Mutual fund CL A RECLASS Z			J	T	Sold (part)	12/2/20	J	C	
26. -MFS Intl Value Mutual Fund CL A RECLASS I	A	Dividend	J	T	Buy (add'l)	3/6/20	J		
27. -MFS Intl Value Mutual Fund CL A RECLASS I			J	T	Sold (part)	12/18/20	J	A	
28. - DREYFUS GOVT CASH MGMT FDS INSTL SHS 289	A	Int./Div.			Sold	12/01/20	J	A	
29. - ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend			Sold	05/15/20	J	B	
30. - MULTI MANAGER GROWTH STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
31. - MULTI MANAGER GROWTH STRATEGIES CL Z			J	T	Sold (part)	11/13/20	J	B	
32. - MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
33. - MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL			J	T	Sold (part)	11/13/20	J	B	

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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34. - MULTI MANAGER VALUE STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
35. - MULTI MANAGER VALUE STRATEGIES CL Z			J	T	Sold (part)	11/13/20	J	A	
36. - WELLS FARGO SPECIAL MID CAP VALUE INSTL CL	A	Dividend			Sold	08/14/20	J	A	
37. -MFS VALUE CL I	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
38. -MFS VALUE CL I			J	T	Sold (part)	12/18/20	J	A	
39. -MFS VALUE INTL CL I	A	Dividend			Sold	12/11/20	J	A	
40. -MFS MID CAP GROWTH CL I	A	Dividend			Sold	12/11/20	J	B	
41. - BLACKROCK STRAT INCOME CL I	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
42. - BLACKROCK STRAT INCOME CL I			J	T	Sold (part)	12/24/20	J	A	
43. - MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
44. - MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z	B	Dividend	J	T	Buy (add'l)	02/14/20	J		
45. - MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z			J	T	Sold (part)	12/02/20	J	C	
46. Ameriprise INHERITED IRA Brokerage ADP 8739 (H)									
47. -Dreyfus Money Market	A	Interest			Redeemed	10/19/20	J	A	
48. -BLACKROCK STRATEGIC INCOME OPPTYS INSTL CL	A	Dividend	J	T	Sold (part)	12/24/20	J	A	
49. - DELAWARE U S GROWTH INSTL CL RECLASS I	A	Dividend	J	T	Sold (part)	11/13/20	J	A	
50. - ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend			Sold	05/15/20	J	A	

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51. -MFS INTL VALUE CL I	A	Dividend			Sold	12/11/20	J	A	
52. -MFS VALUE CL I	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
53. - MULTI MANAGER GROWTH STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
54. - MULTI MANAGER GROWTH STRATEGIES CL Z			J	T	Sold (part)	12/9/20	J	B	
55. - MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
56. -MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	03/25/20	J		
57. -MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z			J	T	Sold (part)	11/13/20	J	B	
58. - MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	08/14/20	J		
59. - MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z			J	T	Sold (part)	12/2/20	J	C	
60. - MULTI MANAGER VALUE STRATEGIES CL Z	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
61. - MULTI MANAGER VALUE STRATEGIES CL Z			J	T	Sold (part)	11/13/20	J	A	
62. -WELLS FARGO EMERGING MARKETS EQUITY INSTL CL	A	Dividend	J	T	Buy (add'l)	11/13/20	J		
63. -WELLS FARGO SPECIAL MID CAP VALUE INSTL CL RECLASS I	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
64. -WELLS FARGO SPECIAL MID CAP VALUE INSTL CL RECLASS I			J	T	Sold (part)	11/13/20	J	A	
65. -MFS MID CAP GROWTH CLASS I	A	Dividend			Sold	12/11/20	J	A	
66. Ameriprise SPS 5681 (H)									
67. - AMERIPRISE MONEY MARKET	A	Interest	J	T					

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68. - NUVEEN INTERM DURATION MUN BOND CL I	A	Dividend	K	T					
69. - JOHN HANCOCK INTL GROWTH CL I	A	Dividend	K	T					
70. - COLUMBIA OVERSEAS VALUE INSTL CL	A	Dividend			Sold	06/22/20	J	A	
71. - BLACKROCK STRATEGIC MUN OPPTYS INSTL CL	A	Dividend	K	T					
72. - SECTOR FINANCIAL SELECT SECTOR SPDR ETF	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
73. - SECTOR HEALTHCARE SELECT SECTOR SPDR ETF	A	Dividend	J	T					
74. - ISHARES RUSSELL 3000 ETF	A	Dividend	K	T	Buy (add'l)	04/09/20	J		
75. - ISHARES TECHNOLOGY ETF	A	Dividend	J	T					
76. -LORD ABBETT BOND DEBENTURE CL	A	Dividend	J	T	Buy	04/09/20	J		
77. Midland National Executive Universal Life 2A	A	Int./Div.	J	T					See Part VIII
78. UCB cash accounts	A	Interest			Closed	07/30/20	M	A	
79. South State Bank Investment Acct (H)									
80. -South State Investment Cash account	A	Interest	K	T					
81. -Dominion Energy Inc.	C	Dividend	M	T					
82. -DUK	A	Dividend	J	T					
83. -SSB	A	Dividend	K	T					
84. -TFC	C	Dividend	M	T					

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NONE (No reportable income, assets, or transactions.)

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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)
85. -WFC	A	Dividend	J	T					
86. -MITTX	A	Dividend	L	T					
87. -MFSCX	A	Dividend	J	T					
88. -Bank of America Corp. internote	A	Dividend			Redeemed	10/28/20	J		
89. HD	A	Dividend	J	T	Buy	03/23/20	J		
90. DIS	A	Dividend	K	T	Buy	03/23/20	J		
91. MSFT	A	Dividend	K	T	Buy	03/23/20	J		
92. NSC	A	Dividend	K	T	Buy	03/23/20	J		
93.									
94.									

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

Part VII, Line 3 --- Filer requested investment information from insurance company. I was advised that there is no investment option for policy holder. The interest earned on the premiums is paid by Midland National.

Part VII, Line 8 --- Assessed value \$1,500,000.00. Following the death of [REDACTED], the interest is one-third of total value shown.

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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/ **Henry F. Floyd**

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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