

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) Keenan, Barbara M.	2. Court or Organization U.S. Court of Appeals, 4th Circuit	3. Date of Report 03/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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 (reportable assets are listed in Part VII)
2. Trustee	Trust #2 (reportable assets are listed in Part VII)
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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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	Retirement Income - Commonwealth of Virginia	\$161,677.00
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. 2020	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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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) 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. Account #1 (H)									
6. SSGA Active Multi Asset Fund (RLY)	A	Dividend	J	T					
7. Vanguard INTL EQTY ET Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
8. Vanguard Total Bond Market Per Advisor (BND)	A	Dividend	J	T					
9. Amer Balanced FD CL A (ABALX)	C	Dividend	L	T					
10. Capital Income BLDR Cl A (CAIBX)	B	Dividend	L	T					
11. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	A	Dividend	J	T					
12. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					
13. Account #2 (H)									
14. SSGA Active Multi Asset Real Return (RLY)	A	Dividend	J	T					
15. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
16. Vanguard Total Bond Mkt Per Advisor (BND)	A	Dividend	K	T					
17. Amer Balanced Fd Cl (ABALX)	B	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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☐ 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. Capital Income BLDR Cl A (CAIBX)	A	Dividend	K	T					
19. Capital World Growth & Income Fd Inc (CWGIX)	A	Dividend	J	T					
20. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	A	Dividend	J	T					
21. Trust for Professional Managers Marketfield Fund Class I (MFLDX)	A	Dividend	J	T					
22. Account #3 (H)									
23. American FDS Portfolio Growth & Income Fund Class A (GAIOX)	B	Dividend	K	T					
24. Account #4 (H)									
25. Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
26. Account #5 (H)									
27. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
28. Account #6 (H)									
29. Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
30. Account #7 (H)									
31. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
32. Account #8 (H)									
33. Wells Fargo Sweep Account (cash)	A	Interest	L	T					
34. AT & T (T)	C	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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

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35. Charter Communications Inc A (CHTR)		None	L	T					
36. Cigna Corp (CI)	A	Dividend	J	T					
37. Cisco Systems-common stock (CSCO)	C	Dividend	M	T					
38. Coca Cola Corp.-common stock (KO)	A	Dividend	K	T					
39. Dominion Resources - common stock (D)	D	Dividend	M	T					
40. Freeport McMoran-common stock (FCX)	A	Dividend	K	T					
41. Glaxo SmithKline-common stock (GSK)	A	Dividend	J	T					
42. Merk & Co.-common stock (MRK)	B	Dividend	L	T					
43. Pfizer Inc.-common stock (PFE)	D	Dividend	M	T					
44. Viatris Inc Com (VTRS)		None	J	T	Spinoff (from line 43)	11/17/20	J		
45. Amer Balanced FD CL A (ABALX)	D	Dividend	M	T					
46. Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
47. Capital World Bond FD CL A (CWBFX)	A	Dividend	K	T					
48. Capital World Growth & Income FD Inc Class A (CWGIX)	A	Dividend	K	T					
49. Income Fund Amer Inc Class A (AMECX)	B	Dividend	K	T					
50. Short Term Bond Fd Amer Inc Shares Class A (ASBAX)	C	Dividend	N	T					
51. Account #9 (H)									

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52. Wells Fargo Sweep (cash)	A	Interest	N	T					
53. Altria Group - common stock (MO)	B	Dividend	K	T					
54. Boeing Co. - common stock (BA)	A	Dividend	K	T					
55. Cisco Systems Inc. - common stock (CSCO)	A	Dividend	J	T					
56. Freeport - McMoran Copper and Gold inc. - common stock (FCX)	A	Dividend	K	T					
57. Hewlett Packard Enterprise Co (HPE) (X) (Y)									
58. HP Inc (HPQ)	A	Dividend	J	T					
59. IBM - common stock (IBM)	A	Dividend	J	T					
60. Kraft Food Group - common stock (KHC)	A	Dividend	J	T					
61. Marriott Int'l - common stock (MAR)	A	Dividend	L	T					
62. Marriott Vacations Worldwide Corp. - common stock (VAC)	A	Dividend	J	T					
63. Merck & Co. - common stock (MRK)	A	Dividend	J	T					
64. Mondelez Int'l Inc. - common stock (MDLZ)	A	Dividend	J	T					
65. Mylan Inc. - common stock (MYL)		None			Merged (with line 66)	11/17/20	J		
66. Pfizer - common stock (PFE)	E	Dividend	P1	T					
67. Philip Morris International - common stock (PM)	B	Dividend	K	T					
68. Viatris Inc Com (VTRS)		None	L	T	Spinoff (from line 66)	11/17/20	L		

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69. 3 M Co. - common stock (MMM)	A	Dividend	K	T					
70. Amer Balanced FD CL A (ABALX)	D	Dividend	M	T					
71. Capital World Bond FD (CWBFX)	C	Dividend	L	T					
72. Capital World Growth & Income Fd Inc (CWGIX)	C	Dividend	M	T					
73. MFS Municipal - Open End Mutual Fund (MMIDX)	B	Dividend	L	T					
74. Touchtone FDS Group TR Ultra Short Duration (SSSGX)	A	Dividend	K	T					
75. Eaton Vance Senior -Floating Rate Fund - Closed End Mut. (EFR)	A	Dividend	J	T					
76. Federal Premier Municipal Income Fund (FMN)	A	Dividend	J	T					
77. Account #10 (H)									
78. Wells Fargo Sweep Account (cash)	A	Interest	M	T					
79. Coca Cola Co.-common stock (KO)	A	Dividend	K	T					
80. Dominion Resources - common stock (D)	D	Dividend	M	T					
81. Intel Corp.-common stock (INTC)	B	Dividend	L	T					
82. IBM-common stock (IBM)	B	Dividend	K	T					
83. Pfizer Inc.-common stock (PFE)	C	Dividend	M	T					
84. SPDR S&P ETF Trust (SPY)	B	Dividend	L	T					
85. SSGA Active Multi Asset (RLY)	A	Dividend	J	T					

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86. Vanguard Intl Equity ETF Index Fds FTSE All World (VEU)	A	Dividend	K	T					
87. Vanguard Total Bond Market (BND)	A	Dividend	K	T					
88. Viatris Inc Com (VTRS)		None	J	T	Spinoff (from line 83)	11/17/20	J		
89. Amer Balanced FD CL A (ABALX)	D	Dividend	N	T					
90. American Funds Inflation Linked Bond Fun Cl A (BFIAX)	B	Dividend	K	T					
91. American FDS Global Balanced FD CL A (GBLAX)	D	Dividend	N	T					
92. Amer Mutual FD Inc A (AMRMX)	B	Dividend	L	T					
93. American Fds Short Term Tax Exempt Bd A (ASTEX)	C	Dividend	N	T					
94. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	A	Dividend	J	T					
95. Fundamental INVS Inc Class A (ANCFX)	C	Dividend	M	T					
96. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					

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

Alps/Red Rocks Global Opportunity Fund Class I (LPEIX) was Financial INVS TR Listed Private Equity ED (LPEIX).

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