

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) Ballou, Robert S.	2. Court or Organization United States District Court, Western District of Virginia	3. Date of Report 10/21/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full-time	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 210 Franklin Road, S.W. Suite 344 Roanoke, Virginia 24011		
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. _____	_____
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. _____	_____
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.		
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	Roanoke County School Board - spouse employed as substitute school nurse
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. Virginia CLE	January 6-9, 2020	Charlottesville, VA	Teach and judge mock trials at trial advocacy course	Food and lodging for three nights and food the fourth day.
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. USAA Bank	A	Interest	J	T					
2. First Citizens Bank	A	Interest	J	T					
3. Wells Fargo Bank		None	J	T					
4.									
5. USAA Brokerage Account (assets below) (Now Chas. Schwab Brokerage) (H)									
6. -CSX Corp.	A	Dividend			Sold	03/16/20	K	E	
7. -Norfolk Southern Corp.	A	Dividend			Sold	03/16/20	K	D	
8. -Stanley Black & Decker	A	Dividend			Sold	03/16/20	K	D	
9. -Verizon Communications, Inc.	A	Dividend			Sold	03/16/20	K	D	
10. -Tweedy Browne Value Fund		None			Sold	03/13/20	J	A	
11. -USAA Money Market Fund	A	Dividend							
12.					Buy	03/16/20	M		
13.					Sold (part)	03/17/20	K	A	
14.					Sold	05/26/20	M	A	
15. -Charles Schwab One Sweep Account	A	Interest	L	T	Buy	05/26/20	M		
16.					Sold (part)	06/02/20	J	A	
17.					Sold (part)	08/31/20	J	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	
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18.									
19. UTMA Account # 1 (holdings listed below) (H)		None			Closed	03/02/20	K		Transfer Acct to Child #1
20. -Marsico Growth Fund		None			Distributed	03/02/20	J		
21. -USAA Growth & Income Fund		None			Distributed	03/02/20	J		
22. -USAA Money Market Fund		None			Distributed	03/02/20	J		
23.		None							
24. UTMA Account # 2 (holdings listed below) (H)		None			Closed	03/02/20	K		Transfer Acct to Child #2
25. -Marsico Growth Fund		None			Distributed	03/02/20	J		
26. -USAA Growth & Income Fund		None			Distributed	03/02/20	J		
27. -USAA Money Market Fund		None			Distributed	03/02/20	J		
28.									
29. UTMA Account #3 (holdings listed below) (H)									
30. -USAA Growth & Income Fund	A	Dividend	J	T					
31. -USAA Money Market Fund (now held at Victory Capital)	A	Dividend	J	T					
32.									
33. 403(b) Retirement Account (holdings listed below)(H)									
34. - JP Morgan Mid-Cap Value Fund	B	Dividend	K	T					

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35. -Mass Mutual Select Mid-Cap Growth Class I	B	Dividend	K	T					
36. -American Funds EuroPac. Growth (R6) (Formerly R4 share class	A	Dividend	K	T					
37. Metropolitan West Total Return Bond Plan	A	Dividend	J	T					
38. -Vanguard Institutional Index 500	B	Dividend	L	T					
39.									
40. Vanguard Retirement Account (holdings below)(H)									
41. -Vanguard Health Care Fund Investor Shares	D	Dividend	L	T	Sold (part)	03/19/20	M	E	
42. -Vanguard Cash Reserves Money Market	A	Dividend	M	T	Buy	03/19/20	M		
43.									
44. T.Rowe Price Retirement Account (holdings below)(H)									
45. -T.Rowe Price Mid-Cap Growth Fund	B	Dividend	K	T	Sold (part)	03/19/20	K	D	
46. -T. Rowe Price Science & Technology Fund		None			Sold	03/19/20	J	C	
47. -T. Rowe Price Small-Cap Stock Fund		None			Sold	03/19/20	K	D	
48. -T. Rowe Price Spectrum Growth Fund		None			Sold	03/19/20	J	B	
49. -Summit Municipal Money Market	A	Dividend			Buy	03/19/20	M		
50.					Sold	10/19/20	M	A	
51. -Tax Exempt Money Fund	A	Dividend	M	T	Buy	10/19/20	M		

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52.									
53. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
54. -Va. 529 2021 Portfolio (Previously Chesapeake Fund)		None			Sold	03/12/20	J	B	
55. -Va 529 Stock Index Fund		None			Sold	03/12/20	J	B	
56. -Va. 529 Aggressive Growth Fund		None			Sold	03/12/20	J	B	
57. -Va529 FDIC Insured Fund		None	K	T	Buy	03/12/20	K		
58.					Sold (part)	08/17/20	J	C	
59.									
60. Virginia 529 College Savings Plan # 2 (holdings below)(H)									
61. -Va. 529 2021 Portfolio (Previously Chesapeake Fund)		None	K	T	Sold (part)	03/12/20	J	B	
62. -Va 529 Stock Index Fund		None			Sold	03/12/20	J	B	
63. -Va. 529 Aggressive Growth Fund		None			Sold	03/12/20	K	B	
64. -Va 529 Conservative Income Fund		None	K	T	Buy	03/12/20	K		
65.					Sold (part)	05/18/20	J	A	
66.					Sold (part)	08/17/20	J	A	
67. -VA529 FDIC- Insured Fund		None	J	T	Buy	03/12/20	J		
68.					Sold (part)	08/17/20	J	A	

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69.									
70. Virginia 529 College Savings Plan # 3 (holdings below)(H)									
71. -Va. 529 2021 Portfolio (Previously Chesapeake Fund)		None	L	T					
72. -Va 529 Stock Index Fund		None			Sold	03/12/20	K	C	
73. -Va. 529 Aggressive Growth Fund		None			Sold	03/12/20	K	C	
74. -Va 529 - Conservative Income Fund		None	K	T	Buy	03/12/20	K		
75. -Va 529 - FDIC Insured Fund		None	K	T	Buy	03/12/20	K		
76.									
77. USAA SEP Acct.(Now Charles Schwab IRA No. 1) - (holdings below)(H)									
78. -USAA Money Market Fund	A	Dividend			Sold	05/26/20	J	A	
79. -USAA Treasury Money Market	A	Dividend							
80.					Buy (add'l)	03/20/20	N		
81.					Buy (add'l)	03/23/20	L		
82.					Sold	05/26/20	N	A	
83. -AQR Managed Futures Strategy		None			Sold	03/20/20	J	A	
84. -Blackrock Low Dur. BD Inv. (Institutional Shs.)	A	Dividend			Sold	03/20/20	K	A	
85. -Causeway Int'l Value		None			Sold	03/20/20	K	A	

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86. -Center Coast MLP		None			Sold	03/20/20	J	A	
87. -Delaware Investment Small Cap Value		None			Sold	03/20/20	J	A	
88. -EV Income Fund of Boston		None			Sold	03/20/20	J	A	
89. -Voya Global Real Estate- Formerly ING Global Real Estate Fund	A	Dividend			Sold	03/02/20	J	A	
90. -Ivy Mid Cap Growth		None			Sold	03/20/20	J	A	
91. -John Hancock Dispicined Value (Inst. Shs.)		None			Sold	03/20/20	K	A	
92. -John Hancock Seaport CL I		None			Sold	03/20/20	J	A	
93. -JP Morgan Dynamic Small Cap Growth		None			Sold	03/20/20	J	A	
94. -Mainstay Large Cap Growth		None			Sold	03/20/20	K	A	
95. -Metropolitan West Total Return		None			Sold	03/20/20	K	A	
96. -Pimco Foreign Bond Fund		None			Sold	03/20/20	J	A	
97. -Pimco Short Term Foreign Bond Fund		None			Sold	03/20/20	J	A	
98. -Riverpark/Wedgewood Instl.		None			Sold	03/20/20	K	A	
99. -Virtus Insight Emerging Markets		None			Sold	03/20/20	K	A	
100. -Blackstone Alternative Multi-Strategy Fund		None			Sold	03/20/20	J	B	
101. -Schwab Value Advantage Money Fund	A	Dividend	N		Buy	05/26/20	N		
102.									

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103. USAA Roth IRA (Now Charles Schwab Roth IRA) (holdings below)(H)									
104. -USAA Money Market Fund	A	Dividend			Sold	05/26/20	J	A	
105. -USAA Treasury Money Market	A	Dividend							
106.					Buy (add'l)	01/28/20	K		
107.					Buy (add'l)	01/29/20	J		
108.					Sold	05/26/20	K	A	
109. -AQR Managed Futures Strategy		None			Sold	01/28/20	J	A	
110. -Blackrock Low Duration Bnd. Fund	A	Dividend			Sold	01/28/20	J	A	
111. -Causeway Int'l Value Fund		None			Sold	01/28/20	J	A	
112. -Center Coast MLP	A	Dividend			Sold	01/28/20	J	A	
113. -Delaware Inv. Sm. Cap. Value		None			Sold	01/28/20	J	A	
114. -EV Income Fund of Boston	A	Dividend			Sold	01/28/20	J	A	
115. -Voya Global Real Estate formerly ING Global Real Estate Fund	A	Dividend			Sold	01/28/20	J	A	
116. -Ivy Mid-Cap Growth		None			Sold	01/28/20	J	A	
117. -John Hancock Disciplined Value Fund		None			Sold	01/28/20	J	A	
118. -JP Morgan Dynamic Small Cap Growth		None			Sold	01/28/20	J	A	
119. -Mainstay Large Cap Growth		None			Sold	01/28/20	J	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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Name of Person Reporting

Ballou, Robert S.

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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)
120. -Metropolitan West Total Return	A	Dividend			Sold	01/28/20	J	A	
121. Pimco Foreign Bond Fund	A	Dividend			Sold	01/28/20	J	A	
122. -Virtus Insight Emerging Markets	A	Dividend			Sold	01/28/20	J	A	
123. -Pimco Short Term Bond Fund	A	Dividend			Sold	01/28/20	J	A	
124. --Riverpark/Wedgewood Institutional Shares		None			Sold	01/28/20	J	A	
125. -Blackstone Alternative Multi-Strategy Fund		None			Sold	01/28/20	J	A	
126. -John Hancock Seaport Fund		None			Sold	01/28/20	J	A	
127. -Schwab Value Advantage Money Fund	A	Dividend	K	T	Buy	05/26/20	K		
128.									
129. USAA Trad. IRA No. 2(now Charles Schwab IRA No. 2 (holdings below)(H)									
130. -Pfizer, Inc.	A	Dividend	K	T					
131. -Viatris, Inc.		None	J	T	Spinoff (from line 130)	11/16/20	J		
132. -USAA Money Market	A	Dividend			Sold	05/26/20	J	A	
133. -Schwab Value Advantage Money Fund	A	Dividend	J	T	Buy	05/26/20	J		
134. -T.Rowe Price Blue Chip Growth	A	Dividend	K	T					
135. -T.Rowe Price Dividend Growth Fund	A	Dividend	K	T					
136. -Tweedy Browne Worldwide High Dividend Yield	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

Ballou, Robert S.

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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)	(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)
137. -Vanguard Explorer Investor Class	B	Dividend	K	T					
138.									
139. Payflex HSA Account (Holdings Below)(H)									
140. -Payflex HSA Deposit Account	A	Interest	K	T					
141. -American Funds 2035 Target	A	Dividend	J	T					
142. -Dodge & Cox Income	A	Dividend	J	T					
143. -Dodge & Cox International Stock Fund	A	Dividend	J	T					
144. -Parnassus Mid-Cap Fund	A	Dividend	J	T					
145. -Vanguard Dividend Appreciation Fund	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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

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Ballou, Robert S.

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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 S. Ballou**

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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Washington, D.C. 20544