

**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) Faber, David A.	2. Court or Organization West Virginia Southern	3. Date of Report 07/07/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 601 Federal Street Bluefield, WV 24701		
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.	

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Name of Person Reporting	Date of Report
Faber, David A.	07/07/2021

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.)

DATE	SOURCE AND TYPE	INCOME (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.)

DATE	SOURCE AND TYPE
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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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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Name of Person Reporting

Faber, David A.

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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)
1. Charles Schwab IRA (see note in VIII)									
2. VZ	C	Dividend	L	T					
3. TRTN	C	Dividend	L	T					
4. DUK	C	Dividend			Sold	10/16/20	K	E	
5. SO	C	Dividend	L	T					
6. EOD	D	Dividend	L	T					
7. IP	B	Dividend	K	T					
8. SVC	A	Dividend			Sold	10/29/20	J	A	
9. LYB	C	Dividend	L	T					
10. STX	C	Dividend	L	T					
11. RSDB	B	Dividend			Sold	05/04/20	K	A	
12. GLAD	C	Dividend	K	T					
13. GSLPRB	C	Dividend	L	T					
14. GSK	C	Dividend	L	T	Sold (part)	04/13/20	K	A	
15. IBM	C	Dividend	L	T					
16. IRM	C	Dividend	K	T					
17. T	C	Dividend	L	T	Sold (part)	04/15/20	K	A	

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	

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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. SLB	B	Dividend	K	T					
19. GIS	B	Dividend	K	T	Buy	01/17/20	L		
20. INTC	B	Dividend	K	T	Buy	06/25/20	K		
21. INTC	A	Dividend			Buy (add'l)	07/24/20	K		
22. KALU	A	Dividend	K	T	Buy	07/17/20	K		
23. KALU	B	Dividend			Buy (add'l)	08/31/20	K		
24. COG	A	Dividend			Sold	11/24/20	K	A	
25. TXN	A	Dividend			Buy	05/04/20	K		
26. TXN		None			Sold	06/25/20	K	C	
27. WFC	A	Dividend			Buy	04/13/20	K		
28. WFC		None			Sold	08/14/20	K	A	
29. BSX	A	Dividend	K	T	Buy	01/15/20	K		
30. GIS	A	Dividend			Buy	01/17/20	L		
31. GIS		None			Sold	12/01/20	L	C	
32. KALU	B	Dividend	L	T	Buy	07/07/20	K		
33. KALU		None			Buy (add'l)	08/31/20	K		
34. SEIC	A	Dividend			Buy	07/08/20	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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35. SEIC		None			Sold	12/07/20	K	A	
36. NUE	A	Dividend			Sold	11/27/20	K	B	
37. GD	A	Dividend			Sold	10/29/20	K	A	
38. XOM	C	Dividend	L	T					
39. WY	B	Dividend			Sold	08/31/20	L	D	
40. CCL	B	Dividend			Sold	10/29/20	J	A	
41. COG	A	Dividend			Sold	11/27/20	K	A	
42. TXN	A	Dividend			Buy	05/04/20	K		
43. TXN		None			Sold	06/25/20	K	C	
44. WFC	A	Dividend	K	T	Buy	04/13/20	K		
45. WFC	A	Dividend			Buy (add'l)	07/08/20	J		
46. WFC		None			Sold	08/14/20	K	A	
47. DOW	B	Dividend	K	T	Buy	04/13/20	K		
48. DOW	A	Dividend			Buy (add'l)	08/31/20	K		
49. HOG	A	Dividend	K	T	Buy	03/30/20	K		
50. HOG		None			Sold	06/25/20	J		
51. BSX	A	Dividend	K	T	Buy	01/15/20	K		

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52. BSX		None			Sold	08/20/20	K	A	
53. PVG		None			Sold	08/28/20	K	D	
54. FCAU	A	Dividend	J	T	Buy	08/19/20	J		
55. RIO	A	Dividend	L	T	Buy	08/20/20	K		
56. RIO	B	Dividend			Buy (add'l)	08/28/20	K		
57. WMB	B	Dividend	K	T	Buy	08/28/20	K		
58. PLAB	A	Dividend	K	T	Buy	09/24/20	K		
59. PG	A	Dividend			Buy	10/22/20	L		
60. PG		None			Sold	12/01/20	L	A	
61. FICO	A		K	T	Buy	12/08/20			
62. ADBE		None	K	T	Buy	12/03/20	J		
63. INTU	A		K	T	Buy	12/02/20			
64. ZBRA		None	K	T	Buy	11/27/20	J		
65. APPL	A	Dividend	K	T	Buy	11/25/20	K		
66. SWVXX	A	Dividend	J	T					
67. Pillar Energy	A	Royalty	J	T					
68. USAA Checking Account	A	Interest	J	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
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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)
69. USAA Savings Account	A	Interest	K	T					
70. Charles Schwab Brokerage Account	A	Interest	J	T					
71. USAA Performance First Savings Account	A	Interest	K	T					
72. Gold Coin Collection		None	J	W					

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

2 Value Codes
(See Columns C1 and D3)

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000

3 Value Method Codes
(See Column C2)

Q =Appraisal
U =Book Value

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

R =Cost (Real Estate Only)
V =Other

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000

S =Assessment
W =Estimated

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

The assets in Section VII, items 2 through 65 are held in self-directed IRA with Charles Schwab. This IRA was formerly held with USAA. On May 26, 2020, all USAA brokerage accounts were transferred to Charles Schwab.

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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/ **David A. Faber**

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