

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) Payne, Robert E.	2. Court or Organization United States District Court Eastern District of Virginia	3. Date of Report 01/05/2022
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 01/01/2020 to 12/31/2020
	5b. ☒ Amended Report	
7. Chambers or Office Address United States District Court 701 E. Broad Street, Suite 7310 Richmond, Virginia 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.)

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.		

Name of Person Reporting	Date of Report
Payne, Robert E.	01/05/2022

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Payne, Robert E.	01/05/2022

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.		

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. IRA #1									
2. --Abbey Cptl Futures Strategy		None			Sold	04/20/20	J		
3. --AB Small Cap Grw Adv	B	Dividend			Sold	09/09/20	J	B	
4. --AMG Mngrs Silvercrest		None	K	T	Buy (add'l)	09/09/20	J		
5. --Artisan Mid Cap Adv	B	Dividend			Buy (add'l)	04/20/20	J		
6.					Sold	09/09/20	J	B	
7. -- Artisan Mid Cap Value Fund		None	K	T	Buy (add'l)	04/20/20	J		
8. -- Blackrock Hi Yield BD		None	K	T	Buy	04/20/20	K		
9.					Buy (add'l)	08/31/20	J		
10. --Blackstone Alt Mult-Strat		None	K	T	Sold (part)	02/03/20	J		
11.					Buy (add'l)	04/20/20	J		
12.					Buy (add'l)	08/31/20	J		
13.					Buy (add'l)	09/09/20	J		
14.					Buy (add'l)	12/17/20	J		
15. --Calamos Market Neutral Inc		None	K	T	Buy (add'l)	04/20/20	J		
16.					Buy (add'l)	08/31/20	J		
17.					Buy (add'l)	09/09/20	J		

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)					

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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.					Buy (add'l)	12/17/20	J		
19. --Center Coast MLP Focus		None			Sold	04/06/20	J		
20. --Cullen High Dividend Equity		None	K	T	Buy (add'l)	08/31/20	J		
21.					Sold (part)	09/09/20	J		
22. -- GQG Partners Emrg Mkts		None	K	T	Buy	04/07/20	J		
23.					Sold (part)	09/09/20	J	A	
24. --Invesco Dynamic Large Cap Val		None	K	T	Buy	08/31/20	J		
25.					Sold (part)	09/09/20	J		
26. --Invesco Opp Intl Growth	C	Dividend	K	T	Sold (part)	02/03/20	J	A	
27.					Sold (part)	04/20/20	J	A	
28.					Sold (part)	09/09/20	J	C	
29. -- Janus (Henderson) Flexible Bond	A	Dividend			Sold (part)	02/03/20	J	A	
30.					Sold	04/07/20	K	A	
31. --Lazard Emerg Mkts Core	B	Dividend	K	T	Sold (part)	09/09/20	J	B	
32. -- Loomis Growth	B	Dividend	K	T	Sold (part)	02/03/20	J	A	
33.					Buy (add'l)	04/20/20	J		
34.					Sold (part)	09/09/20	J	B	

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
35. --Matthews Asian Japan Inv	B	Dividend			Sold	09/09/20	J	B	
36. --MFS Int'l Intrinsic Value I	D	Dividend			Sold (part)	02/03/20	J	A	
37.					Sold (part)	04/20/20	J		
38.					Sold	09/09/20	J	D	
39. -- Mondrian Intl EQ Value		None	K	T	Buy	09/09/20	K		
40. --Oakmark Fund Advisor		None	K	T	Buy (add'l)	08/31/20	J		
41.					Sold (part)	09/09/20	J		
42. --Oakmark International Advisor		None	K	T	Buy (add'l)	04/20/20	J		
43.					Sold (part)	09/09/20	J		
44. -- PGIM Jennison MLP		None	J	T	Buy	04/06/20	J		
45.					Buy (add'l)	04/07/20	J		
46. -- PGIM Total Return Bond		None	L	T	Buy	04/07/20	K		
47.					Buy (add'l)	04/20/20	K		
48.					Buy (add'l)	08/31/20	J		
49.					Buy	12/17/20	J		
50. --Pimco Real Return	A	Dividend			Sold	04/20/20	J	A	
51. --Pimco Short Term		None	K	T	Sold (part)	02/03/20	J		

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
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H1 =\$1,000,001 - \$5,000,000
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H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
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.)

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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)
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52.					Sold (part)	04/20/20	K		
53.					Buy (add'l)	08/31/20	J		
54. --Polen Growth Institutional		None	K	T	Sold (part)	02/03/20	J	B	
55.					Buy (add'l)	04/20/20	J		
56.					Sold (part)	09/09/20	J	B	
57. -- Thornburg Limited-Trm Inc		None	K	T	Buy	09/09/20	K		
58.					Buy (add'l)	12/17/20	J		
59. -- Virtus Kar Sm Md Cp Core		None	K	T	Buy	09/09/20	K		
60. --Virtus MultiSector Short Term Bond		None	L	T	Sold (part)	02/03/20	J		
61.					Buy (add'l)	08/31/20	J		
62. Wells Fargo Emerg Mrk		None			Sold	04/06/20	K		
63.									
64. IRA #2									
65. --AB Small Cap Grw Adv		None	J	T					
66. -- Artisan Midcap Value		None	J	T	Buy (add'l)	03/25/20	J		
67. -- Aston/Montag & Caldwell Growth		None	J	T	Buy (add'l)	03/25/20	J		
68. --Aston Silvercrest Small Cap		None	J	T	Buy (add'l)	05/20/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Payne, Robert E.

Date of Report

01/05/2022

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)
69. -- Blackrock Equity Div. A		None	J	T					
70. -- Blackrock High Yield Bd		None	J	T	Buy	04/08/20	J		
71.					Buy (add'l)	05/20/20	J		
72. --Blackrock Inflation Prot Bond	A	Dividend			Sold	04/08/20	J	A	
73. -- Columbia Select LG CP Growth		None	J	T					
74. -- Invesco Opp Intl Growth	A	Dividend	J	T	Sold (part)	01/31/20		A	
75. -- Ivy Mid Cap Growth		None	J	T	Buy (add'l)	03/25/20	J		
76. -- Lazard Emerging Markets Fund		None	J	T					
77. --Matthews Asian Japan Inv	A	Dividend			Sold	05/20/20	J	A	
78. --MFS Int'l Value		None	J	T					
79. -- Oakmark Fund Advisor		None	J	T	Buy (add'l)	03/25/20	J		
80. -- Pimco Long Term Credit Bd		None			Sold	03/25/20	J		
81. -- Pimco Low Duration A		None	J	T					
82. --Pimco Short Term		None	J	T					
83. -- Virtus MultiSect Short Term Bond		None	J	T					
84. -- Virtus Vontobel Merg Mkt Opp		None	J	T					
85. -- Western Asset Core Plus Portfolio		None	J	T	Buy (add'l)	03/25/20	J		

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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

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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.)

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86.									
87. BROKERAGE ACCOUNT #1									
88. --AbbVie Inc Com	A	Dividend	J	T	Sold (part)	05/11/20	J	A	
89. -- Artisan Mid Cap Adv (X)	B	Dividend			Sold	09/09/20	J	B	
90. -- Autodesk Inc.	B	Dividend	J	T	Sold (part)	09/09/20	J	B	
91. -- Biogen		None	J	T					
92. -- Broadcom Inc.	A	Dividend	J	T	Sold (part)	09/09/20	J	A	
93. -- Citrix Systems Inc.		None	J	T					
94. -- Comcast Corp	A	Dividend	J	T	Sold (part)	09/09/20	J	A	
95. -- Cree Research Inc		None	J	T					
96. --Discovery Communications		None	J	T					
97. -- Dolby Cla		None	J	T					
98. -- Fireeye Inc (X)		None	J	T					
99. -- Fluor Corp		None			Sold	02/28/20	J		
100. -- Freeport McMoran		None	J	T					
101. -- Guardian Health Inc (X)		None	J	T					
102. -- Invesco Dynamic Large Cap Val		None	J	T	Sold	08/24/20	J		

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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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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103.					Sold (part)	09/09/20	L		
104. -- Ionis Pharmaceuticals Inc		None	J	T					
105. --Johnson Ctls Intl Plc		None	J	T					
106. -- L-3 Harris Technologies Inc	A	Dividend	J	T	Sold (part)	08/24/20	J	A	
107. --Liberty Media C Ser C Siriusxm (Y)									
108. -- Mainstay McKay Shtrm Muni		None	K	T	Buy	09/09/20	K		
109. --Medtronic PLC (Y)									
110. -- National Oilwell Varco Inc. (Y)									
111. --Nuance Communications Inc (Y)									
112. -- Nucor Corp (Y)									
113. -- Pentair Ltd (Y)									
114. -- Seagate Technology, Inc.		None	J	T					
115. -- TE Connectivity Ltd		None	J	T					
116. -- Thornburg Ltd Trm Muni		None	K	S	Buy	09/09/20	K		
117. --Twitter Inc	B	Dividend	J	T	Sold (part)	08/24/20	J	A	
118.					Sold (part)	09/09/20	J	A	
119. -- UnitedHealth Gp Inc	B	Dividend	J	T	Sold (part)	08/24/20	J	B	

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

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E =\$15,001 - \$50,000

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)
120. -- Vertex Pharmaceuticals	B	Dividend	J	T	Sold (part)	08/24/20	J	B	
121.					Sold (part)	09/09/20	J	A	
122. --Western Digital Corporation		None	J	T					
123.									
124. BROKERAGE ACCOUNT #2									
125. -- MorganStanley - Cash	A	Interest	J	T					
126. -- Western Asset Managed Municipal	A	Distribution	J	T					
127.									
128.									
129.									
130.									

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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Name of Person Reporting

Payne, Robert E.

Date of Report

01/05/2022

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

1. NAME CHANGE: Asset AbbVie Inc. Com, p. 9, line 88 is a name change of the asset, Allergan Plc, p. 7, line 58 on the 2019 Report.
2. The asset, Invesco Dynamic Large Cap Val., p. 9, line 102, was erroneously omitted from the 2019 Report. In the 2018 Report, the asset, Invesco Dynamic Large Cap Val., p. 9, line 88, was erroneously reported as "sold" on 12/31/18 instead of "sold(part)."
The asset, Invesco Dynamic Large Cap Val., had no reportable transactions or reportable income during the reporting period of 01/01/19 - 12/31/19.
The asset, Invesco Dynamic Large Cap Val., should have been reported on the 2019 Report with "None" in Column B(2); Value Code "M" in Column C(1); and Value Method "T" in Column C(2).

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Payne, Robert E.

Date of Report

01/05/2022

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
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