

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/15/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	American Express	Credit card	K
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. IRA #1									
2. --Abbey Cptl Futures Strategy		None	K	T					
3. --AB Small Cap Grw Adv	B	Dividend	J	T	Sold (part)	07/03/18	J	B	
4.					Sold (part)	08/02/18	J	B	
5. --AMG Mngrs Silvercrest	A	Dividend	J	T	Sold (part)	07/03/18	J	A	
6.					Sold (part)	08/02/18	J	A	
7. --Artisan Mid Cap Adv	A	Dividend	J	T	Sold (part)	07/03/18	J	A	
8. -- Artisan Mid Cap Value Fund		None	J	T	Sold (part)	07/03/18	J		
9.					Buy (add'l)	12/10/18	J		
10. --Blackrock High Yield Bond Fund	A	Dividend			Sold	07/03/18	K	A	
11. --Blackstone Alt Mult-Strat		None	K	T					
12. --Calamos Market Neutral Inc			J	T	Buy	12/12/18	J		
13. --Center Coast MLP Focus		None	K	T					
14. --Columbia Select Large Cap Value Fund	C	Dividend			Sold	07/03/18	J	A	
15. --Cullen High Dividend Equity			K	T	Buy	07/03/18	K		
16.					Buy (add'l)	08/02/18	J		
17. --Janus Flexible Bond			L	T	Buy (add'l)	09/05/18	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 ~\$250,000,001 - \$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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18. --Invesco Dynamic Large Cap Value	A	Dividend	J	T	Sold (part)	07/03/18	J	A	
19.					Buy (add'l)	08/02/18	J		
20. --Ishares Core S&P U.S. Growth					Buy	12/31/18	J		
21.					Closed	12/31/18	J	A	
22. --Ishares Russell 1000 Value ETF					Buy	12/31/18	L		
23.	A	Dividend			Closed	12/31/18	L	A	
24. --Lazard Emerg Mkts Core	B	Dividend	K	T	Sold (part)	05/01/18	J	B	
25. --Matthews Asian Japan Inv	A	Dividend	J	T	Sold (part)	05/01/18	J	A	
26.					Buy (add'l)	07/03/18	J		
27.					Buy (add'l)	12/17/18	J		
28. --MFS Int'l Value	A	Dividend	K	T	Sold (part)	05/01/18	J	A	
29.					Buy (add'l)	07/03/18	K		
30. --Oakmark Fund Advisor	A	Dividend	K	T	Sold (part)	07/03/18	J	A	
31.					Buy (add'l)	08/02/18	J		
32.					Buy (add'l)	12/17/18	J		
33. --Oakmark International Advisor	C	Dividend	K	T	Sold (part)	05/01/18	J	B	
34.					Sold (part)	07/03/18	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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.					Buy (add'l)	12/17/18	J		
36. -- Oppenheimer Int'l Growth Fund	B	Dividend	K	T	Sold (part)	05/01/18	J	B	
37.					Buy (add'l)	07/03/18	J		
38.					Buy (add'l)	12/17/18	J		
39. --Pimco Real Return		None	J	T					
40. --Pimco Short Term		None	K	T	Buy (add'l)	08/02/18	J		
41. --Polen Growth Institutional	D	Dividend	K	T	Sold (part)	05/01/18	J	B	
42.					Sold (part)	07/03/18	J	B	
43.					Sold (part)	08/02/18	J	B	
44. --Putnam Absolute Ret					Sold	12/10/18	J		
45. --Putnam Equity Spectrum Y					Sold	08/02/18	J		
46. --Riverpark/Wedgewood Inst	A	Dividend	K	T	Sold (part)	07/03/18	J	A	
47.					Sold (part)	08/02/18	J	A	
48.					Buy (add'l)	12/19/18	J		
49. --Virtus MultiSector Short Term Bond		None	L	T	Buy (add'l)	07/03/18	K		
50. Wells Fargo Emerg Mrk	A	Dividend	K	T	Sold (part)	05/01/18	J	A	
51.					Buy (add'l)	07/03/18	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	
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52.									
53. IRA #2									
54. --AB Small Cap Grw Adv	A	Dividend	J	T	Sold (part)	07/27/18	J	A	
55. -- Artisan Midcap Value		None	J	T	Sold (part)	01/12/18	J		
56. -- Aston/Montag & Caldwell Growth		None	J	T	Sold (part)	07/27/18	J		
57. --Aston Silvercrest Small Cap		None	J	T					
58. -- Blackrock Equity Div. A		None	J	T	Buy (add'l)	07/27/18	J		
59. --Blackrock Inflation Prot Bond		None	J	T					
60. -- Columbia Select LG CP Growth		None	J	T	Sold (part)	07/27/18	J		
61. -- EV Income Fund of Boston	A	Dividend			Sold	01/12/18	J	A	
62. -- Ivy Midcap Growth		None	J	T					
63. -- Lazard Emerging Markets Fund		None	J	T					
64. --Matthews Asian Japan Inv		None	J	T					
65. --MFS Int'l Value		None	K	T	Buy (add'l)	01/12/18	J		
66. -- Oakmark Fund Advisor		None	J	T	Buy (add'l)	07/27/18	J		
67. -- Oppenheimer Int'l Growth Fund			J	T	Buy (add'l)	01/12/18	J		
68. -- Pimco Low Duration A		None	J	T	Buy (add'l)	01/12/18	J		

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69. --Pimco Short Term		None	J	T	Buy (add'l)	07/27/18	J		
70. -- Virtus Insight Emerg Mkts		None	J	T					
71. -- Virtus MultiSect Short Term Bond		None	J	T	Buy (add'l)	01/12/18	J		
72. -- Western Asset Core Plus Portfolio		None	J	T					
73.									
74. BROKERAGE ACCOUNT #1									
75. --Allergan Plc		None	J	T					
76. -- Anadarko Pete (APC)		None	J	T					
77. -- Autodesk Inc.		None	J	T					
78. -- Biogen		None	J	T					
79. -- Broadcom Inc.		None	J	T					
80. -- Citrix Systems Inc.		None	J	T					
81. -- Comcast Corp		None	J	T					
82. -- Cree Research Inc		None	J	T	Sold (part)	06/12/18	J		
83. --Discovery Communications		None	J	T					
84. -- Dolby Cla		None	J	T					
85. -- Fluor Corp		None	J	T					

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86. -- Freeport McMoran		None	J	T					
87. -- Invesco Dynamic Large Cap Value					Sold (part)	06/12/18	J		
88.					Sold	12/31/18	L		
89. -- Ionis Pharmaceuticals Inc		None	J	T					
90. --Ishares Core S&P U.S. Growth			J	T	Buy	12/31/18	J		
91. --Ishares Russell 1000 Value ETF			L	T	Buy	12/31/18	L		
92. --Johnson Ctls Intl Plc		None	J	T					
93. -- L-3 Technologies, Inc (formerly L-3 Communications Holdings)		None	J	T					
94. --Liberty Media C Ser C Siriusxm		None	J	T					
95. --Medtronic PLC SHS		None	J	T					
96. -- National Oilwell Varco Inc.		None	J	T					
97. --Nuance Communications Inc		None	J	T					
98. -- Nucor Corp		None	J	T					
99. -- Pentair Ltd	A	Distribution	J	T					
100. --Qurate Retail Inc Ser A (X)		None	J	T					
101. -- Seagate Technology, Inc.	A	Dividend	J	T	Sold (part)	06/12/18	J	A	
102. -- TE Connectivity Ltd	B	Dividend	J	T	Sold (part)	06/12/18	J	A	

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103. --Twitter Inc		None	J	T					
104. -- UnitedHealth Gp Inc		None	J	T					
105. -- Vertex Pharmaceuticals		None	J	T					
106. -- Weatherford Int'l Ltd					Sold	12/31/18	J		
107. --Western Digital Corporation	A	Dividend	J	T					
108.									
109. BROKERAGE ACCOUNT #2									
110. -- MorganStanley - Cash	A	Interest	J	T					
111. -- Western Asset Managed Municipal		None	J	T					
112.									
113.									
114.									
115.									

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

1. NAME CHANGE: 2018 Annual Report, Part VII, page 5, line 18 and page 9, line 87: INVESCO DYNAMIC LARGE CAP VALUE is a name change for POWERSHARES DYN LARG CAP VALUE, 2017 Annual Report, page 5, line 30 and page 8, line 84.
2. ASSET EXCHANGE: 2017 Annual Report, Part VII, page 5, line 24 and page 7, line 52: OAKMARK I. This asset was exchanged for asset OAKMARK FUND ADVISOR on May 4, 2018. Therefore, this asset is listed now in the 2018 Annual Report, Part VII, page 5, line 30 and page 7, line 66, as OAKMARK FUND ADVISOR.
3. ASSET EXCHANGE: 2017 Annual Report, Part VII, page 5, line 25, OAKMARK INTERNATIONAL I. This asset was exchanged for asset OAKMARK INTERNATIONAL ADVISOR on May 4, 2018. Therefore, this asset is listed now in the 2018 Annual Report, Part VII, page 5, line 33, as OAKMARK INTERNATIONAL ADVISOR.
4. NAME CHANGE: 2018 Annual Report, Part VII, page 6, line 41: POLEN GROWTH INSTITUTIONAL is a name change from FUNDVANTAGE TR POLEN GROWTH INSTITUTIONAL, 2017 Annual Report, Part VII, page 5, line 18.
5. ASSET EXCHANGE: 2017 Annual Report, Part VII, page 7, line 65: BROADCOM CORP. This asset was exchanged for asset BROADCOM INC. on April 5, 2018. Therefore, this asset is listed now in the 2018 Annual Report, page 8, line 79.
6. ASSET EXCHANGE: 2017 Annual Report, Part VII, page 8, line 76: LIBERTY INTERACTIVE CORP. This asset was exchanged for asset GCI LIBERTY INC. CL A on March 12, 2018. However, GCI LIBERTY INC. has a fair market value less than \$1,000 and does not appear on the 2018 Annual Report.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Payne, Robert E.

Date of Report

05/15/2019

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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Washington, D.C. 20544