

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 11/12/2014
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 601 FEDERAL STREET BLUEFIELD, WV 24701		
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. Monthly

West Virginia Teachers' Retirement

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.		
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. Smith Barney Citigroup IRA	F	Int./Div.	P1	T					
2. ☐ BMY									
3. ☐ BMY									
4. ☐ PCL									
5. ☐ VZ									
6. ☐ VZ									
7. ☐ CAG									
8. ☐ HON									
9. ☐ PFE									
10. ☐ BT Group									
11. ☐ INTC									
12. ☐ WFC									
13. ☐ DD									
14. ☐ NOC									
15. ☐ PG									
16. ☐ SDRL									
17. ☐ TAL									

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 \$5,000,000	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. DUK									
19. MVO									
20. AGNC									
21. SCCO									
22. SNH									
23. TYY									
24. AAPL									
25. FCX					Buy	07/22/13	K		
26. GFI					Buy	01/22/13	J		
27. SBGL					Spinoff (from line 26)	01/22/13	J		
28. SBGL					Sold	07/22/13	J	A	
29. TGT					Buy	01/22/13	L		
30. -Citicorp Bank Dep (X)									
31. SWK					Buy	01/22/13	K		
32. USAA Money Mkt	A	Interest	J	T	Buy	07/15/13			
33. Gold Coin Collection	A	None	J	W					
34. Simeon Oil & Gas (X)	A	Royalty	J	T					

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35. ☐ NORX	A		J	T	Buy	06/13/13	J		
36. ☐ LSI	A				Buy	06/14/13	J		
37. ☐ LSI	A				Buy	06/24/13	J		
38. ☐ LSI					Sold	07/15/13	J	A	
39. ☐ SBGL	A				Buy	06/21/13	J		
40. ☐ SBGL	A				Buy	07/02/13	J		
41. ☐ SBGL					Sold	07/15/13	J	A	
42. ☐ X	A				Buy	07/18/13	J		
43. ☐ X					Sold	07/23/13	J	A	
44. ☐ X	A				Buy	07/30/13	J		
45. ☐ X					Sold	08/08/13	J	A	
46. ☐ EMC	A	Dividend			Buy	07/30/13	J		
47. ☐ EMC	A				Buy	12/17/13	J		
48. ☐ EMC					Sold	12/31/13	J	A	
49. ☐ IO	A				Buy	08/08/13	J		
50. ☐ IO					Sold	11/14/13	J	A	
51. ☐ LSI	A	Dividend			Buy	10/08/13	J		

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52. ☐ LSI	A	Dividend			Buy	10/21/13	J		
53. ☐ LSI	A	Dividend			Buy	11/19/13	J		
54. ☐ LSI					Sold	12/16/13	J	C	
55. ☐ IPGP	A				Buy	08/08/13	J		
56. ☐ IPGP					Sold	10/21/13	J	A	
57. First Century Bank (X)									
58. United Bank (X)									

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

First Century Bank and United Bank accounts were erroneously included in my original filing. They are omitted from the revised report because they are personal checking accounts.

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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