

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/31/2016
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 01/01/2015 to 12/31/2015
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. Jan - May	West Virginia University College of Law - Teaching	\$6,500.00
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. 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Smith Barney Citicorp IRA	E	Int./Div.	P1	T					
2. -V2									
3. -CAG									
4. -PFE									
5. -INTC									
6. -WFC									
7. -DD									
8. -PG									
9. -SDRL					Sold	07/24/15	K	A	
10. -TAL									
11. -DUK									
12. -MVO					Sold	07/24/15	K	A	
13. -AGNC									
14. -SNH									
15. -TYG									
16. -AAPL									
17. -FCX									

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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	(1) Amount Code I (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. -GFI					Sold	07/21/15	K	A	
19. -SWK					Sold	07/28/15	L		
20. -KMI									
21. -GSK									
22. -SDRL					Sold	07/21/15	K	A	
23. -SO									
24. -ESV									
25. -LMT					Buy	07/28/15	L		
26. -FNV					Buy	07/21/15	K		
27. -COP					Buy	07/21/15	L		
28. -CVX					Buy	05/13/15	L		
29. -KSU					Buy	05/12/15	L		
30. -Citicorp Bank Deposit									
31. USAA Money Market	B	Dividend	L	T					
32. Gold Coin Collection		None	J	W					
33. Simeon Oil & Gas	A	Royalty	J	T					
34. NORX		None			Sold	01/10/15	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
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35. FNV	A	Dividend			Sold	07/01/15	K	A	
36. DVN	A	Dividend			Sold	02/05/15	J	A	
37. CVX	A	Dividend			Sold	01/26/15	J	A	
38. MGI		None			Sold	02/03/15	J	A	
39. LIOX		None			Sold	02/01/15	K	A	
40. SSRI		None			Sold	01/16/15	J	A	
41. ZHNE		None			Sold	02/06/15	J	A	
42. VALE	A	Dividend			Sold	04/24/15	K	B	
43. AKS		None			Buy	01/30/15	K		
44. AKS		None			Sold	04/15/15	K	B	
45. AA		None			Buy	03/06/15	L		
46. AA		None			Sold	08/31/15	L	B	
47. ANET		None			Buy	01/05/15	J		
48. ANET		None			Sold	02/10/15	J	A	
49. ARWR		None			Buy	02/25/15	J		
50. ARWR		None			Sold	04/09/15	J	A	
51. AUO		None			Buy	02/13/15	J		

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52. AUO		None			Sold	05/27/15	J	A	
53. ITT	A	Dividend			Buy	01/16/15	J		
54. ITT		None			Sold	02/03/15	J	A	
55. KSU		None			Buy	04/28/15	L		
56. KSU		None			Sold	12/22/15	L	A	
57. LMT	A	Dividend			Buy	05/13/15	K		
58. LMT		None			Sold	07/01/15	K	A	
59. MRGE		None			Buy	04/30/15	J		
60. MRGE		None			Sold	07/23/15	J	A	
61. NORX		None			Buy	02/17/15	J		
62. NORX		None			Sold	06/13/15	J	A	
63. ON		None			Buy	01/29/15	J		
64. ON		None			Sold	02/06/15	J	B	
65. ORAN		None			Buy	04/10/15	K		
66. ORAN		None			Sold	04/13/15	K	A	
67. PLAB		None			Buy	04/10/15	K		
68. PLAB		None			Sold	04/24/15	K	A	

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69. QRVO		None			Buy	05/04/15	K		
70. QRVO		None			Sold	05/07/15	K	C	
71. QSII	A	Dividend			Buy	01/21/15	K		
72. QSII		None			Sold	03/30/15	K	A	
73. RAD		None			Buy	02/05/15	J		
74. RAD		None			Sold	02/12/15	J	A	
75. SDRL		None			Buy	08/14/15	J		
76. SDRL		None			Sold	08/31/15	J	A	
77. UTX	A	Dividend			Buy	07/29/15	K		
78. UTX		None			Sold	10/02/15	K	A	
79. WY	A	Dividend			Buy	01/07/15	K		
80. WY		None			Sold	12/30/15	K	A	
81. USAA Growth & Inc. Fund	A	Dividend	J	T	Buy	01/16/15	J		
82. USAA Science & Technology Fund	A	Dividend	J	T	Buy	02/03/15	J		
83. USAA Inc. Stock Fund	A	Dividend	J	T	Buy	02/13/15	J		

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

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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
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Washington, D.C. 20544