

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Ballou, Robert S.	2. Court or Organization United States District Court, Western District of Virginia	3. Date of Report 07/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 210 Franklin Road, S.W. Suite 344 Roanoke, Virginia 24011		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Past-president	Marlins Booster Board
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.		
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.	
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. Virginia CLE	January 6 - 7, 2016	Charlottesville, VA	Teach and judge mock trials at trial advocacy course	One night food and lodging paid for me and my spouse
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. USAA Bank	A	Interest	K	T					
2. First Citizens Bank	A	Interest	K	T					
3. Wachovia/Wells Fargo Bank		None	J	T					
4. Equitable Variable Life Insurance		None	K	T					
5. USAA Brokerage Account (assets listed below) (H)									
6. -CSX Corp.	A	Dividend	K	T					
7. -Exxon Mobil Corp.	A	Dividend	J	T					
8. -IBM	A	Dividend	K	T					
9. -Norfolk Southern Corp.	A	Dividend	K	T					
10. -Stanley Black & Decker	A	Dividend	K	T					
11. -Verizon Communications, Inc.	B	Dividend	K	T					
12. -Tweedy Browne Value Fund	A	Dividend	J	T					
13. USAA Money Market Fund	A	Dividend	L	T					
14. UTMA Account # 1 (holdings listed below) (H)									
15. -Marsico Growth Fund	A	Dividend	J	T					
16. -USAA Growth & Income Fund	A	Dividend	J	T					
17. -USAA Money Market Fund	A	Dividend	J	T					

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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☐ 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 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. UTMA Account # 2 (holdings listed below) (H)									
19. -Marsico Growth Fund	A	Dividend	J	T					
20. -USAA Growth & Income Fund	A	Dividend	J	T					
21. -USAA Money Market Fund	A	Dividend	J	T					
22. UTMA Account #3 (holdings listed below) (H)									
23. -USAA Growth & Income Fund	A	Dividend	J	T					
24. -USAA Money Market Fund	A	Dividend	J	T					
25. 403(b) Retirement Account (holdings listed below)(H)									
26. -Goldman Sachs MidCap Value-Inst ((Formerly A Class shares)	A	Dividend	K	T					
27. -Munder Mid Cap Core Growth-Y (formerly A class shares)	B	Dividend	K	T					
28. -American Funds EuroPac. Growth (R6) (Formerly R4 share class	A	Dividend	K	T					
29. Metropolitan West Total Return Bond Plan	A	Dividend	J	T					
30. -Vanguard Institutional Index 500	A	Dividend	K	T					
31.									
32. Vanguard Retirement Account (holdings below)(H)									
33. -Vanguard Health Care Fund Investor Shares	D	Dividend	M	T					
34.									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

35. T.Rowe Price Retirement Account (holdings below)(H)									
36. -T.Rowe Price Mid-Cap Growth Fund	B	Dividend	L	T					
37. -T. Rowe Price Science & Technology Fund	A	Dividend	J	T					
38. -T. Rowe Price Small-Cap Stock Fund	A	Dividend	K	T					
39. -T. Rowe Price Spectrum Growth Fund	A	Dividend	J	T					
40.									
41. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
42. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	12/21/16	J		
43. Va 529 Stock Index Fund		None	J	T	Buy (add'l)	12/21/16	J		
44. -Va. 529 Aggressive Growth Fund		None	K	T	Buy (add'l)	12/21/16	J		
45.									
46. Virginia 529 College Savings Plan # 2 (holdings below)(H)									
47. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	12/21/16	J		
48. Va 529 Stock Index Fund		None	J	T	Buy (add'l)	12/21/16	J		
49. -Va. 529 Aggressive Growth Fund		None	K	T	Buy (add'l)	12/21/16	J		
50. Virginia 529 College Savings Plan # 3 (holdings below)(H)									
51. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	12/21/16	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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52. Va 529 Stock Index Fund		None	J	T	Buy (add'l)	12/21/16	J		
53. -Va. 529 Aggressive Growth Fund		None	K	T	Buy (add'l)	12/21/16	J		
54.									
55. USAA SEP Acct. - formerly Morgan Stanley SEP (holdings below)(H)									
56. -USAA Money Market fund	A	Dividend	J	T					
57. -AQR Managed Futures Strategy	A	Dividend	J	T					
58. -Blackrock Low Dur. BD Inv. (Institutional Shs.)	A	Dividend	J	T					
59. -Causeway Int'l Value	B	Dividend	L	T					
60. -Center Coast MLP	A	Dividend	J	T					
61. -Deleware Investment Small Cap Value	A	Dividend	J	T					
62. -EV Income Fund of Boston	A	Dividend	J	T					
63. -ING Global Real Estate Fund (Re-named Voya Global Real Estate)	A	Dividend	J	T					
64. -Ivy Mid Cap Growth	A	Dividend	J	T					
65. -John Hancock Dispicined Value (Inst. Shs.)	A	Dividend	L						
66. -John Hancock Seaport CL I	A	Dividend	J	T					
67. -JP Morgan Dynamic Small Cap Growth	A	Dividend	J	T					
68. -Mainstay Large Cap Growth	B	Dividend	K	T					

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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69. -Managers AMG System Mid-Cap Value - Renamed to AMG Systematic	A	Dividend	J	T					
70. -Metropolitan West Total Return	A	Dividend	K	T					
71. -Pimco Foreign Bond Fund	A	Dividend	J	T					
72. -Pimco Short Term Foreign Bond Fund	A	Dividend	J	T					
73. -Riverpartk/Wedgewood Instl.	A	Dividend	K	T					
74. Virtus Insight Emerging Markets	A	Dividend	K	T					
75.									
76. USAA Roth IRA - formerly - Morgan Stanley Roth IRA (holdings below)(H)									
77. -USAA Money Market Fund	A	Dividend	J	T					
78. -AQR Managed Futures Strategy	A	Dividend	J	T					
79. -Blackrock Low Duration Bnd. Fund	A	Dividend	J	T					
80. -Causeway Int'l Value Fund	A	Dividend	J	T					
81. -Center Coast MLP	A	Dividend	J	T					
82. -Deleware Inv. Sm. Cap. Value	A	Dividend	J	T					
83. -EV Income Fund of Boston	A	Dividend	J	T					
84. -ING Global Real Estate Fund (Renamed-Voya Global Real Estate)	A	Dividend	J	T					
85. -Ivy Mid-Cap Growth	A	Dividend	J	T					

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86. -John Hancock Disciplined Value Fund	A	Dividend	J	T					
87. -JP Morgan Dynamic Small Cap Growth	A	Dividend	J	T					
88. -Legg Mason WA Emerging Markets	A	Dividend	J	T					
89. -Mainstay Large Cap Growth	A	Dividend	J	T					
90. -Managers Systematic Mid-Cap. Value-Renamed AMG Systematic Mid	A	Dividend	J	T					
91. -Metropolitan West Total Return	A	Dividend	J	T					
92. Pimco Foreign Bond Fund	A	Dividend	J	T					
93. -Virtus Insight Emerging Markets	A	Dividend	J	T					
94.									
95. USAA Trad. IRA former Morg. Stan. Trad. IRA No. 2 (holdings below)(H)									
96. -Pfizer, Inc.	A	Dividend	K	T					
97. -Citibank Bank Deposit Program (re-named - USAA Money Market)	A	Dividend	J	T					
98.									
99. Payflex HSA	A	Interest	K	T					
100.									

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

Lines 75 and 131 of my 2015 report regarding Center Coast MLP in the USAA Traditional IRA and USAA Roth IRA accounts reflect that my position in that investment was sold on August 14, 2015. In fact, that position was sold only in part. My current holdings in Center Coast MLP is reflected in this 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/ Robert S. Ballou

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