

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) Floyd, Henry F.	2. Court or Organization U.S. Court of Appeals for the Fourth Circuit	3. Date of Report 05/12/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2015 to 12/31/2015
7. Chambers or Office Address 201 Magnolia Street Spartanburg, SC 29306		
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. _____	_____
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. 1992	S.C. Judges and Solicitors Retirement System, retirement fund payable upon retirement at age 55
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. 2015	Judges & Solicitors Retirement System - retirement	\$94,862.00
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.	
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. University of North Carolina	2/20/2015 - 2/21/2015	Chapel Hill, North Carolina	Judge Moot Court finals	Travel, food, lodging
2. UCLA	4/16/2015 - 4/18/2015	Los Angeles, California	Seminar panelist	Travel, food, lodging
3. S.C. Association for Justice	8/6/2015 - 8/8//2015	Hilton Head, South Carolina	Annual convention	Registration, lodging
4. S.C. Probate Judge's Association	9/10/2015 - 9/11/2015	Columbia, South Carolina	Speaker at Probate Bench/Bar seminar	travel, lodging, food
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.)*

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.		

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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. Southern Company common stock	A	Dividend	K	T					
2. IRA #1 (H)									
3. - Jennison 20/20 Focus Fund	A	Dividend	J	T					
4. South State Bank account (formerly SCBT)	A	Interest	K	T					
5. New York Life - Variable Universal Life Policy	C	Interest	K	T					
6. MetLife Insurance (formerly Travelers Life & Annuity)	A	Interest	J	T					
7. SunTrust Bank Accounts	A	Interest	M	T					
8. Pickens County, SC inherited/gifted real estate		None	P1	S					See Part VIII
9. First Citizens Bank account	A	Interest	J	T					
10. IRA #2 (H)									
11. --VP Moderate Aggressive Mutual Fund CL C (x)	A	Dividend			Sold	10/05/15	L	E	
12. Ameriprise Brokerage (H)									
13. --John Hancock Lifestyle Balanced CL C Mutual Fund (x)	A	Dividend	J	T	Buy	10/27/15	J		
14. --John Hancock Lifestyle Balanced CL C Mutual Fund (x)					Buy	10/05/15	J		
15. IRA #3 (H)									
16. --Inventrust REIT (x)	A	Dividend	J	T					
17. --Xenia Hotels Common Stock (x)	A	Dividend			Sold	10/02/15	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 H ~\$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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☐ 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. Ameriprise IRA Brokerage ADP (H)									
19. --Eaton Vance Floating Rate & High Income Mutual Fund CL A (x)	A	Dividend			Sold	01/14/15	J		
20. --JPMorgan Strategic Income Opptys Mutual fund CL A (x)	A	Dividend			Sold	01/14/15	J		
21. --MFS Emerging Markets Debt Mutual fund CL A (x)	A	Dividend			Sold	01/14/15	J		
22. --Prudential Global Real Estate Mutual fund CL A (x)	A	Dividend			Sold	04/23/15	J	A	
23. --Active Portfolio Multi Manager Growth Mutual Fund CL A (x)	A	Dividend	J	T	Buy	04/23/15	J		
24. --Active Portfolio Multi Manager Small Cap Equity Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
25. --Active Multi Manager Total Return Bond Mutual fund CL A (x)	A	Dividend	K	T	Buy	01/14/15	J		
26. --Active Multi Manager Total Return Bond Mutual fund CL A (x)					Buy	04/23/15	J		
27. --Active Multi Manager Total Return Bond Mutual fund CL A (x)					Buy	10/19/15	J		
28. --Active Portfolio Multi Manager Value Mutual fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
29. --American Century Mid Cap Value Mutual fund CL A(x)	A	Dividend	J	T					
30. --Blackrock Strategic Income Opptys Investor Mutual Fund CL A (x)	A	Dividend	J	T	Buy	01/14/15	J		
31. --Blackrock Strategic Income Opptys Investor Mutual Fund CL A (x)					Buy	10/19/15	J		
32. --Columbia Income Oppty Mutual fund CL A(x)	A	Dividend	J	T	Buy	10/19/15	J		
33. --JP Morgan Large Cap Growth Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
34. --JP Morgan Large Cap Growth Mutual Fund CL A (x)					Sold (part)	04/23/15	J	A	

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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	(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. --MFS Intl Value Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
36. --MFS Value Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
37. --Oppenheimer Intl Growth Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
38. --Prudential Jennison Mid Cap Growth Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
39. --Wells Fargo Emerging Markets Equity Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
40. --Wells Fargo Special Mid Cap Value Mutual Fund CL A (x)	A	Dividend	J	T	Buy	10/19/15	J		
41. --Money Market Mutual Fund CL A (x)	A	Interest	J	T	Redeemed (part)	10/27/15	J		
42. Midland National Executive Universal Life 2A (x)	A	Interest	J	T					

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

Part VII, Line 8 --- Assessed value \$1,200,000.00. Filer's interest is one-fourth of total value shown.

Part VII, Lines 10 - 42 ----- Assets required to be reported due to marriage of filer.

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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/ **Henry F. Floyd**

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
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