

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/14/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address P.O. Box 1141 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. Vice 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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Name of Person Reporting

Ballou, Robert S.

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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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. VaCLE

November 2 - 3, 2012

Boars Head Inn,
Charlottesville, VirginiaPresenter at Mock Trial
at Virginia State Bar
Annual Construction Law
Conference

Lodging, Food

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	L	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. -AT&T	A	Dividend	J	T					
7. -CSX Corp.	A	Dividend	K	T					
8. -Exxon Mobil Corp.	A	Dividend	K	T					
9. -Frontier Communications Corp.	A	Dividend	J	T					
10. -Hewlett Packard Co.	A	Dividend	J	T					
11. -IBM	A	Dividend	K	T					
12. -Merck & Co., Inc.	A	Dividend	J	T					
13. -Norfolk Southern Corp.	A	Dividend	K	T					
14. -Sigma Aldrich Corp.	A	Dividend	K	T					
15. -Steel Dynamics Corp.	A	Dividend	J	T					
16. -Verizon Communications, Inc.	B	Dividend	K	T					
17. -Dodge & Cox Int'l Stock 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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18. -Torrar Fund	A	Dividend	J	T					
19. -Tweedy Browne Global Value Fund	A	Dividend	J	T					
20. -Tweedy Browne Value Fund	A	Dividend	K	T					
21. USAA Money Market Fund	A	Dividend	J	T					
22. UTMA Account # 1 (holdings listed below) (H)									
23. -Marsico Growth Fund	A	Dividend	J	T					
24. -USAA Growth & Income Fund	A	Dividend	J	T					
25. -USAA Money Market	A	Dividend	J	T					
26. UTMA Account # 2 (holdings listed below) (H)									
27. -Marsico Growth Fund	A	Dividend	J	T					
28. -USAA Growth & Income Fund	A	Dividend	J	T					
29. -USAA Money Market	A	Dividend	J	T					
30. UTMA Account #3 (holdings listed below) (H)									
31. -USAA Growth & Income Fund	A	Dividend	J	T					
32. -USAA Money Market Fund	A	Dividend	J	T					
33. Wells Fargo Brokerage Account (holdings listed below)(H)									
34. -Hewlett-Packard Co.	A	Dividend	J	T					

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(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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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35. - Stanley Black & Decker	A	Dividend	J	T					
36. -Sigma Aldrich Corp.	A	Dividend	K	T	Sold (part)	05/09/12	J	A	
37. 403(b) Retirement Account (holdings listed below)(H)									
38. -Invesco Van Kampen Equity & Income Fund Y	A	Dividend	J	T					
39. -Fidelity Spartan 500 Index Investor	A	Dividend	K	T					
40. -Goldman Sachs MidCap Value - A	A	Dividend	J	T					
41. -Munder Mid Cap Core Growth - A	A	Dividend	J	T					
42. -American Funds EuroPacific Growth (R4)	A	Dividend	J	T					
43. Vanguard Retirement Account (holdings below)(H)									
44. -Vanguard Health Care Fund Investor Shares	B	Dividend	L	T					
45. T.Rowe Price Retirement Account (holdings below)(H)									
46. -T.Rowe Price Mid-Cap Growth Fund	A	Dividend	K	T					
47. -T. Rowe Price Science & Technology Fund		None	J	T					
48. -T. Rowe Price Small-Cap Stock Fund	A	Dividend	K	T					
49. -T. Rowe Price Spectrum Growth Fund	A	Dividend	J	T					
50. Fidelity Retirement Account (holdings below)(H)									
51. -Fidelity Blue Chip Growth	A	Dividend	J	T					

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52. -Fidelity Growth & Income Fund	A	Dividend	J	T					
53. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
54. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	10/26/12	J		
55. -Va. 529 Aggressive Growth Fund		None	J	T	Buy (add'l)	10/26/12	J		
56. Virginia 529 College Savings Plan # 2 (holdings below)(H)									
57. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	10/26/12	J		
58. -Va. 529 Aggressive Growth Fund		None	J	T	Buy (add'l)	10/26/12	J		
59. Virginia 529 College Savings Plan # 3 (holdings below)(H)									
60. -Va. 529 Chesapeake Fund		None	K	T	Buy (add'l)	10/26/12	J		
61. -Va. 529 Aggressive Growth Fund		None	J	T	Buy (add'l)	10/26/12	J		
62. Morgan Stanley SEP Account (holdings listed below)(H)									
63. -Morgan StanleyMutual Global Discovery Fund Class Z	A	Dividend	K	T					
64. -First Trust Mid-Cap Core Alphadex Fund	A	Dividend	J	T					
65. -Alpha Natural Resources Inc.		None	J	T					
66. -Western Union Company	A	Dividend	J	T					
67. -Teekay Long Partners LP	A	Dividend	J	T					
68. -Transocean Ltd, Switzerland		None	J	T					

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69. -Henderson International Opportunities Fund, Class I	A	Dividend	K	T					
70. -McDonald's Corporation	A	Dividend	K	T					
71. -3M Company	A	Dividend	J	T					
72. -First Trust Nasdaq-100 Technology Index Fund	A	Dividend	J	T					
73. -Monsanto Co.	A	Dividend	J	T					
74. -Walt Disney Co.		None	J	T					
75. -Mondelez International, Inc (Formerly Kraft Foods)	A	Dividend	J	T					
76. -Kraft Foods Group, Inc. (Spinoff from Kraft Foods)		None	J	T	Spinoff (from line 75)	10/2/12	J		
77. -Bristol Myers Squibb Co.	A	Dividend	J	T					
78. -Johnson & Johnson	A	Dividend	J	T					
79. -Pfizer, Inc.	A	Dividend	J	T					
80. -Norfolk Southern Corp.	A	Dividend	J	T					
81. -United States Gasoline Fund LP		None	J	T					
82. -Powershares Exchange-Traded Fund Water Res. Port	A	Dividend	J	T					
83. -First Trust Exchange Traded Fund/Dow Jones Internet Index		None	J	T					
84. -First Trust Morningstar Dividend Leaders Fund	A	Dividend	J	T					
85. -First Trust Nasdaq-100 Equal Weighted Index	A	Dividend	J	T					

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86. -SPDR S&P Dividend ETF	A	Dividend	J	T					
87. -Guggenheim Timber ETF	A	Dividend	J	T					
88. -First Trust Materials Alphadex Fund	A	Dividend	J	T					
89. -First Trust Small Cap Core Alphadex Fund	A	Dividend	J	T					
90. -Greenhaven Continuous Commodity Index Fund		None	J	T					
91. -Dreyfus Money Market Instruments	A	Dividend			Sold	5/4/12	K	A	
92. -Morgan Stanley Bank, N.A.	A	Dividend	K	T	Buy	5/4/12	K		
93. -Deleware Diversified Income Fund	A	Dividend	K	T					
94. -Pimco Total Return Fund	A	Int./Div.	K	T					
95. -Templeton Global Bond Fund Advisor Class	A	Dividend	J	T					
96. Morgan Stanley Roth IRA (holdings listed below)(H)									
97. -First Eagle Global Fund Class C	A	Dividend	K	T					
98. -Citibank Deposit Program		None	J	T					
99. -Verizon Communications	A	Dividend	J	T					
100. Morgan Stanley Traditional IRA No. 1 (holdings below)(H)									
101. -First Eagle Global Fund	A	Dividend	J	T					
102. -Altria Group, Inc.	A	Dividend	J	T					

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103. -Mondelez Int'l, Inc. (formerly Kraft Foods, Inc.)	A	Dividend	J	T					
104. -Kraft Foods Group, Inc.(spinoff from Kraft Foods)	A	Dividend	J	T	Spinoff (from line 103)	10/2/12	J		
105. -Philip Morris Int'l Inc.	A	Dividend	K	T					
106. - Citibank Deposit Program		None	J						
107. Morgan Stanley Traditional IRA No. 2 (holdingsbelow)(H)									
108. -Pfizer, Inc.	A	Dividend	J	T					
109. -Citibank Bank Deposit Program	A	Dividend	J	T					
110. AETNA HSA	A	Interest	J	T					
111. American Chartered Bank HSA	A	Interest			Closed	7/14/12	K	A	
112. Select Account HSA	A	Int./Div.	K	T	Open	7/14/12	K		

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

Line 73 of the 2011 report for Monsanto Co. incorrectly reported a total value for that asset in excess of \$15,000.00. The correct value should have been less than \$15,000.00.

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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