

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) Keenan, Barbara M.	2. Court or Organization U.S. Court of Appeals, 4th Circuit	3. Date of Report 10/6/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge-Active	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 200 South Washington Street Suite 305 Alexandria, VA 22314		
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. Trustee	Trust #1 - See Sec. VII, Line 95
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. 2015	Retirement Income - Commonwealth of Virginia	\$149,881.00
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. 2015	Virginia Retirement System-Monthly Payment
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. Bank of America-Bank Accounts	E	Interest	N	T					
2. BB&T -Bank Accounts	A	Interest	J	T					
3. Jefferson County, WV-78 acres farmland, 25% interest	A	Rent	M	Q					
4. Jefferson County, WV-157 acres farm + structures-25% int	B	Rent	O	Q					
5. MERRILL LYNCH BROKERAGE ACCT #1 (H)									
6. BB&T Bank Corp. common stock	E	Dividend	N	T					
7. Cisco Systems-common stock	B	Dividend	L	T					
8. Coca Cola Corp.-common stock	A	Dividend	K	T					
9. Freeport McMoran-common stock	B	Dividend	J	T					
10. Glaxo SmithKline-common stock	A	Dividend	J	T					
11. Merk & Co.-common stock	B	Dividend	K	T					
12. Pfizer Inc.-common stock	C	Dividend	M	T					
13. Time Warner Cable-common stock	A	Dividend	K	T					
14. Time Warner Inc.-common stock	B	Dividend	L	T					
15. Wells Fargo & Co.-common stock	A	Dividend	J	T					
16. Express Scripts Hldg. Co.		None	J	T					
17. Dominion Resources - common stock	C	Dividend	M	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 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)

18. AOL - common stock	A	Dividend	J	T					
19. Bank of America Tax-Exempt Reserves CL	A	Interest	L	T					
20. Time Inc.	A	Dividend	J	T					
21. MERRILL LYNCH BROKERAGE ACCT #2 (IRA) (H)									
22. MainStay Marketfield Fund		None	J	T					
23. SPDR S&P 500 ETF Trust	B	Dividend	L	T					
24. SSGA Active Multi Asset Fund	A	Dividend	J	T					
25. ALPS/Red Rock Listed Private Equity	A	Dividend	J	T					
26. Vanguard FTSE ALL WORLD	A	Dividend	K	T					
27. Vanguard Total Bond Market Per Advisor	A	Dividend	J	T					
28. FIA Card SVS NA Rasp MM Fund	A	Interest	K	T					
29. MERRILL LYNCH BROKERAGE ACCT #3 (H)									
30. Coca Cola Co.-common stock	A	Dividend	K	T					
31. General Electric-common stock	B	Dividend	L	T					
32. Intel Corp.-common stock	B	Dividend	K	T					
33. IBM-common stock	B	Dividend	K	T					
34. Pfizer Inc.-common stock	C	Dividend	M	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

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35. Bank of America Muni Reserves Money Market	B	Interest	L	T					
36. Dominion Resources - common stock	B	Dividend	M	T					
37. MERRILL LYNCH BROKERAGE ACCT #4 (H)									
38. MainStay Market Field Fund		None	J	T					
39. SPDR S&P ETF Trust	B	Dividend	K	T					
40. SSGA Active Multi Asset	A	Dividend	J	T					
41. Vanguard Total Bond Market	A	Dividend	K	T					
42. Vanguard FTSE ALL WORLD	A	Dividend	J	T					
43. ALPS/RED Rocks, Listed Private Equity ED	A	Dividend	J	T					
44. Merrill Lynch Bank Deposit Program	A	Interest	M	T					
45. WELLS FARGO BROKERAGE ACCT (H)									
46. Altria Group - common stock	A	Dividend	K	T					
47. AOL, Inc. - common stock		None			Sold	6/30/15	J	A	
48. Boeing Co. - common stock	A	Dividend	K	T					
49. Cisco Systems Inc. - common stock	A	Dividend	J	T					
50. Express Scripts Holding Co. - common stock		None	J	T					
51. Freeport - McMoran Copper and Gold inc. - common stock	B	Dividend	K	T					

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52. General Electric Co. - common stock	A	Dividend	K	T					
53. Hewlett-Packard Co. - common stock	A	Dividend	J	T					
54. IBM - common stock	A	Dividend	J	T					
55. Kraft Food Group - common stock	A	Dividend	J	T	Sold (part)	7/6/15	J	B	
56. Marriott Int'l - common stock	A	Dividend	K	T					
57. Marriott Vacations Worldwide Corp. - common stock	A	Dividend	J	T					
58. Merck & Co. - common stock	A	Dividend	J	T					
59. Mondelez Int'l Inc. - common stock	A	Dividend	J	T					
60. Mylan Inc. - common stock		None	J	T	Sold (part)	3/2/15	J	D	
61. Pfizer - common stock	D	Dividend	O	T					
62. Philip Morris International - common stock	A	Dividend	K	T					
63. Reynolds American Inc. - common stock	A	Dividend	J	T					
64. Time Warner Cable - common stock	A	Dividend	J	T					
65. Time Warner Inc. - common stock	A	Dividend	J	T					
66. 3 M Co. - common stock	A	Dividend	K	T					
67. MFS Municipal - Open End Mutual Fund	C	Interest	L	T					
68. Sentinel Short Maturity Govt Fund - Open End Mutual Fund	A	Interest	K	T					

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69. Eaton Vance Senior -Floating Rate Fund - Closed End Mut.	A	Dividend	J	T					
70. Federal Premier Municipal Income Fund	A	Dividend	J	T					
71. Time Inc.	A	Dividend	J	T					
72. MERRILL LYNCH BROKERAGE ACCT IRA #5 (H)									
73. Mainstay Marketfield Fund		None	J	T					
74. SPDR S&P 500 ETF Trust	A	Dividend	K	T					
75. SSGA Active Multi Asset Real Return	A	Dividend	J	T					
76. Vanguard FTSE ALL WORLD	A	Dividend	J	T					
77. Vanguard Total Bond Mkt Per Advisor	A	Dividend	K	T					
78. ALPS/Red Rocks Listed Private Equity	A	Dividend	J	T					
79. Bank of America RASP	A	Interest	J	T					
80. COMMONWEALTH OF VA - DEFINED CONTRIBUTION PLAN #1 (H)									
81. Stable Value Fund - formerly known as Treasury Bill-Money Mkt Fnd	A	Dividend	K	T					
82. U.S. Stock Fund - formerly known as S&P 500 Index	D	Dividend	M	T					
83. High Yield Bond Fund - formerly as Active Inflation Pro Bond Fund	A	Dividend	L	T					
84. International Stock Fund - formerly, International Equity Index Fund	A	Dividend	K	T					
85. Small/Midcap Stock Fund - formerly known as Active Global Equity Fund	C	Dividend	K	T					

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86. U.S. Stock Fund, formerly known - 401(a) Cash Match-S&P 500 Index Fund	A	Dividend	J	T					
87. COMMONWEALTH OF VIRGINIA - DEFINED CONTRIBUTION PLAN #2 (H)									
88. Stable Value Fund - formerly known as Treasury Bill Money Market Fund	A	Dividend	L	T					
89. U.S. Stock Fund - formerly known as S&P 500 Index Fund	D	Dividend	M	T					
90. High Yield Bond Fund - formerly known - Active Inflation Pro Bond Fund	A	Dividend	L	T					
91. International Stock Fund - formerly as International Equity Index Fund	B	Dividend	K	T					
92. Small/Midcap Stock Fund - formerly known as Active Global Equity Fund	C	Dividend	M	T					
93. U.S. Stock Fund - formerly known as 401(a) Cash Match S&P Index	A	Dividend	J	T					
94. TRUST #1: (H)									
95. BB&T Corp. Accounts	D	Interest	M	T					
96. MERRILL LYNCH BROKERAGE ACCT IRA #6 Inheritance (H)									
97. Bank of America NA RASP	A	Interest	K	T					

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

The appraisal date for the assets in Part VII, page 4, lines 3 and 4 is 2009.

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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/ **Barbara M. Keenan**

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