AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Keenan, Barbara M.	U.S. Court of Appeals, 4th Circuit	04/11/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Article III Judge-Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
1100 East Main Street Richmond, VA 23219		

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 (reportable assets are listed in Part VII)
2.	Trustee	Trust #2 (reportable assets are listed in Part VII)
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2010	Commonwealth of Virginia Defined Benefit Retirement Plan
2.		
3.		

Name of Person Reporting	Date of Report
Keenan, Barbara M.	04/11/2022

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. 2021	Retirement Income - Commonwealth of Virginia	$164,208.78
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. 2021	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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.			

Name of Person Reporting	Date of Report
Keenan, Barbara M.	04/11/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Individual Assets (H)									
2. Bank of America (cash)	A	Interest	O	T					
3. BB&T (cash)	A	Interest	L	T					
4. Rental Property, Jefferson County, WV	B	Rent	P1	W					
5. Account #1 (H)									
6. SSGA Active Multi Asset Fund (RLY)	A	Dividend	J	T					
7. Vanguard INTL EQTY ET Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
8. Vanguard Total Bond Market Per Advisor (BND)	A	Dividend	J	T					
9. American Funds Balanced FD CL A (ABALX)	C	Dividend	L	T					
10. American Funds Capital Income BLDR Cl A (CAIBX)	B	Dividend	L	T					
11. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	B	Dividend	J	T					
12. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					
13. Account #2 (H)									
14. SSGA Active Multi Asset Real Return (RLY)	C	Dividend	J	T					
15. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend	K	T					
16. Vanguard Total Bond Mkt Per Advisor (BND)	C	Dividend	K	T					
17. American Funds Balanced Fd Cl (ABALX)	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Keenan, Barbara M.	04/11/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. American Funds Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
19. American Funds Capital World Growth & Income Fd Inc (CWGIX)	A	Dividend	J	T					
20. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	B	Dividend	J	T					
21. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					
22. Account #3 (H)									
23. American FDS Portfolio Growth & Income Fund Class A (GAIOX)	C	Dividend	L	T	Sold (part)	11/05/21	J	B	
24. Account #4 (H)									
25. Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
26. Account #5 (H)									
27. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
28. Account #6 (H)									
29. Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
30. Account #7 (H)									
31. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
32. Account #8 (H)									
33. Wells Fargo Sweep Account (cash)	A	Interest	M	T					
34. AT & T (T)	C	Dividend	K	T					

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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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	B	C		D				
Description of Assets (including trust assets)	Income during reporting period	Gross value at end of reporting period		Transactions during reporting period				
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35. Charter Communications Inc A (CHTR)		None	L	T					
36. Cigna Corp (CI)	A	Dividend	J	T					
37. Cisco Systems-common stock (CSCO)	C	Dividend	M	T					
38. Coca Cola Corp.-common stock (KO)	A	Dividend	K	T					
39. Dominion Resources - common stock (D)	D	Dividend	M	T					
40. Freeport McMoran-common stock (FCX)	A	Dividend	L	T					
41. Glaxo SmithKline-common stock (GSK)	A	Dividend	J	T					
42. Merk & Co.-common stock (MRK)	B	Dividend	L	T					
43. Organon & Co (OGN)	A	Dividend	J	T					
44. Pfizer Inc.-common stock (PFE)	C	Dividend			Sold	07/26/21	M	B	
45. Viatris Inc Com (VTRS)	A	Dividend	J	T					
46. American Funds Balanced FD CL A (ABALX)	D	Dividend	M	T					
47. American Funds Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
48. American Funds Capital World Bond FD CL A (CWBFX)	A	Dividend	K	T					
49. American Funds Capital World Growth & Income FD Inc Class A (CWGIX)	B	Dividend	K	T					
50. American Funds Income Fund Amer Inc Class A (AMECX)	C	Dividend	L	T					
51. American Funds Short Term Bond Fd Amer Inc Shares Class A (ASBAX)	C	Dividend	N	T					

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52. Account #9 (H)									
53. Wells Fargo Sweep (cash)	A	Interest	O	T					
54. Altria Group - common stock (MO)	B	Dividend	K	T					
55. Boeing Co. - common stock (BA)		None	K	T					
56. Cisco Systems Inc. - common stock (CSCO)	A	Dividend	J	T					
57. Freeport - McMoran Copper and Gold inc. - common stock (FCX)	A	Dividend	L	T					
58. HP Inc (HPQ)	A	Dividend			Sold	02/04/21	J	A	
59. IBM - common stock (IBM)	A	Dividend	J	T					
60. Kraft Food Group - common stock (KHC)		None			Sold	02/04/21	J	B	
61. Marriott Int'l - common stock (MAR)		None	L	T					
62. Marriott Vacations Worldwide Corp. - common stock (VAC)	A	Dividend	J	T					
63. Merck & Co. - common stock (MRK)	A	Dividend	J	T					
64. Mondelez Int'l Inc. - common stock (MDLZ)	A	Dividend	J	T					
65. Pfizer - common stock (PFE)	E	Dividend	P1	T	Sold (part)	07/26/21	N	G	
66. Philip Morris International - common stock (PM)	B	Dividend	K	T					
67. Viatris Inc Com (VTRS)	B	Dividend	L	T					
68. 3 M Co. - common stock (MMM)	A	Dividend	K	T					

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69. American Funds Balanced FD CL A (ABALX)	D	Dividend	N	T					
70. American Funds Capital World Bond FD (CWBFX)	B	Dividend	L	T					
71. American Funds Capital World Growth & Income Fd Inc (CWGIX)	E	Dividend	N	T					
72. MFS Municipal - Open End Mutual Fund (MMIDX)	B	Dividend	L	T					
73. Touchtone FDS Group TR Ultra Short Duration (SSSGX)	A	Dividend	K	T					
74. Eaton Vance Senior -Floating Rate Fund - Closed End Mut. (EFR)	A	Dividend	J	T					
75. Federated Hermes Federal Premier Municipal Income Fund (FMN)	A	Dividend	J	T					
76. Account #10 (H)									
77. Wells Fargo Sweep Account (cash)	A	Interest	M	T					
78. Coca Cola Co.-common stock (KO)	A	Dividend	K	T					
79. Dominion Resources - common stock (D)	D	Dividend	M	T					
80. Intel Corp.-common stock (INTC)	B	Dividend	L	T					
81. IBM-common stock (IBM)	B	Dividend	K	T					
82. Kyndryl Hldgs Inc (KD)	A	Dividend	J	T					
83. Pfizer Inc.-common stock (PFE)	C	Dividend	L	T					
84. SPDR S&P ETF Trust (SPY)	C	Dividend	M	T					
85. SSGA Active Multi Asset (RLY)	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)
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
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2 Value Codes (See Columns C1 and D3)
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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
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86. Vanguard Intl Equity ETF Index Fds FTSE All World (VEU)	A	Dividend	K	T					
87. Vanguard Total Bond Market (BND)	A	Dividend	K	T					
88. Viatris Inc Com (VTRS)	A	Dividend	J	T					
89. American Funds Balanced FD CL A (ABALX)	E	Dividend	N	T					
90. American Funds Inflation Linked Bond Fun Cl A (BFIAX)	B	Dividend	K	T					
91. American Funds Global Balanced FD CL A (GBLAX)	E	Dividend	N	T					
92. American Funds Mutual FD Inc A (AMRMX)	D	Dividend	M	T					
93. American Fds Short Term Tax Exempt Bd A (ASTEX)	B	Dividend	N	T					
94. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	B	Dividend	J	T					
95. American Funds Fundamental INVS Inc Class A (ANCFX)	D	Dividend	M	T					
96. Trust for Professional Managers Marketfield Fund Class I (MFLDX)		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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		
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Keenan, Barbara M.	04/11/2022

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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