AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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	05/15/2023
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	01/01/2022 **to** 12/31/2022
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.	05/15/2023

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. 2022	Retirement Income - Commonwealth of Virginia	$168,034.00
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.)*

DATE	SOURCE AND TYPE
1. 2022	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.	05/15/2023

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. American FDS Moderate Growth and Income Portfolio Class A (BLPAX)	D	Dividend	M	T	Buy	05/10/22	M		
7. SSGA Active Multi Asset Fund (RLY)	A	Dividend			Sold	05/09/22	J		
8. Vanguard INTL EQTY ET Index FDS FTSE ALL WORLD (VEU)	A	Dividend			Sold	05/09/22	K		
9. Vanguard Total Bond Market Per Advisor (BND)	A	Dividend			Sold	05/09/22	J		
10. American Funds Balanced FD CL A (ABALX)	A	Dividend			Sold	05/09/22	L		
11. American Funds Capital Income BLDR Cl A (CAIBX)	A	Dividend			Sold	05/09/22	L		
12. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)		None			Sold	05/09/22	J		
13. Total Fd Solution Cromwell Marketfield (MFLDX)		None			Sold	05/09/22	J		
14. Account #2 (H)									
15. American FDS Moderate Growth and Income Portfolio Class A (BLPAX)	D	Dividend	M	T	Buy	05/10/22	M		
16. American Funds Capital World Growth & Income Fd Inc (CWGIX)	A	Dividend	J	T	Sold (part)	05/09/22	J		
17. SSGA Active Multi Asset Real Return (RLY)	A	Dividend			Sold	05/09/22	J		

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

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Keenan, Barbara M.	05/15/2023

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. Vanguard INTL EQTY EETF Index FDS FTSE ALL WORLD (VEU)	A	Dividend			Sold	05/09/22	J		
19. Vanguard Total Bond Mkt Per Advisor (BND)	A	Dividend			Sold	05/09/22	K		
20. American Funds Balanced Fd Cl (ABALX)	A	Dividend			Sold	05/09/22	K		
21. American Funds Capital Income BLDR Cl A (CAIBX)	A	Dividend			Sold	05/09/22	K		
22. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)		None			Sold	05/09/22	J		
23. Total Fd Solution Cromwell Marketfield (MFLDX)		None			Sold	05/09/22	J		
24. Account #3 (H)									
25. American FDS Portfolio Growth & Income Fund Class A (GAIOX)	B	Dividend	K	T					
26. Account #4 (H)									
27. Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
28. Account #5 (H)									
29. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
30. Account #6 (H)									
31. Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
32. Account #7 (H)									
33. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
34. Account #8 (H)									

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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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)
35. Wells Fargo Sweep Account (cash)	A	Interest	M	T					
36. AT & T (T)	B	Dividend	K	T					
37. Charter Communications Inc A (CHTR)		None	K	T					
38. Cigna Corp (CI)	A	Dividend	J	T					
39. Cisco Systems-common stock (CSCO)	C	Dividend	M	T					
40. Coca Cola Corp.-common stock (KO)	A	Dividend	K	T					
41. Dominion Energy - common stock (D)	D	Dividend	M	T					
42. Freeport McMoran-common stock (FCX)	A	Dividend	K	T					
43. Glaxo SmithKline-common stock (GSK)	A	Dividend	J	T					
44. Haleon PLC (HLN)		None	J	T					
45. Merk & Co.-common stock (MRK)	C	Dividend	M	T					
46. Organon & Co (OGN)	A	Dividend	J	T					
47. Viatris Inc Com (VTRS)	A	Dividend	J	T					
48. Warner Bros Discovery Inc Ser A (WBD)	A	Dividend	J	T					
49. American Funds Balanced FD CL A (ABALX)	C	Dividend	M	T					
50. American Funds Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
51. American Funds Capital World Bond FD CL A (CWBFX)	A	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

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52. American Funds Capital World Growth & Income FD Inc Class A (CWGIX)	A	Dividend	K	T					
53. American Funds Income Fund Amer Inc Class A (AMECX)	C	Dividend	L	T					
54. American Funds Short Term Bond Fd Amer Inc Shares Class A (ASBAX)	C	Dividend	M	T					
55. Account #9 (H)									
56. Wells Fargo Sweep (cash)	A	Interest	N	T					
57. Altria Group - common stock (MO)	B	Dividend	K	T					
58. Boeing Co. - common stock (BA)		None	K	T					
59. Cisco Systems Inc. - common stock (CSCO)	A	Dividend	J	T					
60. Freeport - McMoran Copper and Gold inc. - common stock (FCX)	A	Dividend	L	T					
61. IBM - common stock (IBM)	A	Dividend	J	T					
62. Marriott Int'l - common stock (MAR)	A	Dividend	L	T					
63. Marriott Vacations Worldwide Corp. - common stock (VAC)	A	Dividend	J	T					
64. Merck & Co. - common stock (MRK)	A	Dividend	J	T					
65. Mondelez Int'l Inc. - common stock (MDLZ)	A	Dividend	J	T					
66. Pfizer - common stock (PFE)	E	Dividend	P1	T					
67. Philip Morris International - common stock (PM)	B	Dividend	K	T					
68. Viatris Inc Com (VTRS)	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
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69. 3 M Co. - common stock (MMM)	A	Dividend	K	T					
70. US Treasury Bill (912796T41)		None			Buy	05/09/22	N		
71.					Redeemed	08/18/22	N		
72. US Treasury Bill (912796XY0)		None	N	T	Buy	08/29/22	N		
73. American Funds Balanced FD CL A (ABALX)	D	Dividend	M	T					
74. American Funds Capital World Bond FD (CWBFX)	B	Dividend	L	T					
75. American Funds Capital World Growth & Income Fd Inc (CWGIX)	C	Dividend	M	T					
76. MFS Municipal - Open End Mutual Fund (MMIDX)	B	Dividend	L	T					
77. Touchtone FDS Group TR Ultra Short Duration (SSSGX)	A	Dividend	K	T					
78. Eaton Vance Senior -Floating Rate Fund - Closed End Mut. (EFR)	A	Dividend	J	T					
79. Federated Hermes Federal Premier Municipal Income Fund (FMN)	A	Dividend	J	T					
80. Account #10 (H)									
81. Wells Fargo Sweep Account (cash)	B	Interest	N	T					
82. Amazon Com Inc (AMZN)		None	K	T	Buy	05/18/22	K		
83. Coca Cola Co (KO)	A	Dividend	K	T					
84. Dominion Energy (D)	D	Dividend	M	T					
85. Intel Corp (INTC)	B	Dividend	K	T					

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86. IBM (IBM)	B	Dividend	K	T					
87. Kyndryl Hldgs Inc (KD) (Y)									
88. Pfizer Inc (PFE)	C	Dividend	L	T					
89. SPDR S&P ETF Trust (SPY)	B	Dividend	L	T					
90. SSGA Active Multi Asset (RLY)	A	Dividend	J	T					
91. Vanguard Intl Equity ETF Index Fds FTSE All World (VEU)	A	Dividend	K	T					
92. Vanguard Total Bond Market (BND)	A	Dividend	K	T					
93. Viatris Inc Com (VTRS)	A	Dividend	J	T					
94. US Treasury Bill (912796T41)		None			Buy	05/09/22	N		
95.					Redeemed	08/18/22	N		
96. US Treasury Notes (912828UN8)		None	N	T	Buy	08/29/22	N		
97. American Funds Balanced FD CL A (ABALX)	D	Dividend	N	T					
98. American Funds Inflation Linked Bond Fun Cl A (BFIAX)	B	Dividend	K	T					
99. American Funds Global Balanced FD CL A (GBLAX)	D	Dividend	N	T					
100. American Funds Mutual FD Inc A (AMRMX)	D	Dividend	M	T					
101. American Fds Short Term Tax Exempt Bd A (ASTEX)	C	Dividend	N	T					
102. Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)		None	J	T					

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☐ NONE *(No reportable income, assets, or transactions.)*

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103. American Funds Fundamental INVS Inc Class A (ANCFX)	D	Dividend	M	T					
104. Total Fd Solution Cromwell Marketfield (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
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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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	U =Book Value	V =Other	W =Estimated		

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 45 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Keenan, Barbara M.	05/15/2023

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
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