AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/15/2024
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**
U.S. Circuit Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

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

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2023	Retirement Income - Commonwealth of Virginia	$174,973.62
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
1.	2023	Virginia Retirement System - Monthly Payment
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Keenan, Barbara M.	05/15/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Individual Assets (H)									
2.	Bank of America (cash)	A	Interest	N	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)	C	Dividend	M	T					
7.	Account #2 (H)									
8.	American FDS Moderate Growth and Income Portfolio Class A (BLPAX)	C	Dividend	M	T					
9.	American Funds Capital World Growth & Income Fd Inc (CWGIX)	A	Dividend	J	T					
10.	Account #3 (H)									
11.	American FDS Portfolio Growth & Income Fund Class A (GAIOX)	B	Dividend	K	T	Sold (part)	11/16/23	J	A	
12.	Account #4 (H)									
13.	Virginia Cash Match Plan, Target Date 2030 Portfolio		None	J	T					
14.	Account #5 (H)									
15.	Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
16.	Account #6 (H)									
17.	Virginia Cash Match Plan, Target Date 2030 Portfolio		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			
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.	05/15/2024

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. Account #7 (H)									
19. Commonwealth of VA Def. Comp, Target Date 2030 Portfolio		None	O	T					
20. Account #8 (H)									
21. Wells Fargo Sweep Account (cash)	A	Interest	K	T					
22. AT & T (T)	B	Dividend	K	T					
23. Charter Communications Inc A (CHTR)		None	K	T					
24. Cigna Corp (CI)	A	Dividend	J	T					
25. Cisco Systems (CSCO)	D	Dividend	M	T					
26. Coca Cola Corp (KO)	A	Dividend	K	T					
27. Dominion Energy (D)	D	Dividend			Sold	12/12/23	L		
28. Freeport McMoran (FCX)	A	Dividend	L	T					
29. GSK PLC (GSK)	A	Dividend			Sold	12/12/23	J		
30. Haleon PLC (HLN)	A	Distribution			Sold	12/12/23	J		
31. Merck & Co (MRK)	C	Dividend	M	T					
32. Organon & Co (OGN)	A	Dividend			Sold	12/12/23	J		
33. Viatris Inc Com (VTRS)	A	Dividend			Sold	12/12/23	J		
34. Warner Bros Discovery Inc Ser A (WBD)		None			Sold	12/12/23	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
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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
35.	US Treasury Bills		None	O	T	Buy	02/10/23	M		
36.	American Funds Balanced FD CL A (ABALX)	C	Dividend	M	T					
37.	American Funds Capital Income BLDR Cl A (CAIBX)	B	Dividend	K	T					
38.	American Funds Capital World Bond FD CL A (CWBFX)	A	Dividend	K	T					
39.	American Funds Capital World Growth & Income FD Inc Class A (CWGIX)	B	Dividend	K	T					
40.	American Funds Income Fund Amer Inc Class A (AMECX)	B	Dividend	L	T					
41.	American Funds Short Term Bond Fd Amer Inc Shares Class A (ASBAX)	D	Dividend			Sold	12/12/23	N		
42.	Account #9 (H)									
43.	Wells Fargo Sweep (cash)	B	Interest	M	T					
44.	Altria Group - common stock (MO)	B	Dividend	K	T					
45.	Boeing Co. - common stock (BA)		None	K	T					
46.	Cisco Systems Inc. - common stock (CSCO)	A	Dividend			Sold	12/12/23	J		
47.	Freeport - McMoran Copper and Gold inc. - common stock (FCX)	A	Dividend	L	T					
48.	IBM - common stock (IBM)	A	Dividend	J	T					
49.	Marriott Int'l - common stock (MAR)	A	Dividend	M	T					
50.	Marriott Vacations Worldwide Corp. - common stock (VAC)	A	Dividend			Sold	12/12/23	J		
51.	Merck & Co. - common stock (MRK)	A	Dividend	J	T					

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52.	Mondelez Int'l Inc. - common stock (MDLZ)	A	Dividend	K	T					
53.	Pfizer - common stock (PFE)	E	Dividend	O	T					
54.	Philip Morris International - common stock (PM)	B	Dividend	K	T					
55.	Viatris Inc Com (VTRS)	B	Dividend			Sold	12/12/23	K		
56.	3M Co. - common stock (MMM)	A	Dividend	J	T					
57.	US Treasury Bills		None	O	T	Buy	02/10/23	N		
58.	American Funds Balanced FD CL A (ABALX)	D	Dividend	N	T					
59.	American Funds Capital World Bond FD (CWBFX)	A	Dividend			Sold	05/10/23	L		
60.	American Funds Capital World Growth & Income Fd Inc (CWGIX)	D	Dividend	N	T					
61.	MFS Municipal Ser Tr Muni Income Fd Cl A1 (MMIDX)	C	Dividend			Sold	12/12/23	L		
62.	Touchstone FDS Group TR Ultra Short Duration (SSSGX)	A	Dividend			Sold	05/10/23	K		
63.	Eaton Vance Senior -Floating Rate Fund - Closed End Mut. (EFR)	A	Dividend			Sold	12/12/23	J		
64.	Federated Hermes Federal Premier Municipal Income Fund (FMN)	A	Dividend			Sold	12/12/23	J		
65.	Account #10 (H)									
66.	Wells Fargo Sweep Account (cash)	B	Interest	M	T					
67.	Amazon Com Inc (AMZN)		None	K	T					
68.	Coca Cola Co (KO)	A	Dividend	K	T					

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69.	Dominion Energy (D)	C	Dividend			Sold	12/12/23	M		
70.	Intel Corp (INTC)	A	Dividend	L	T					
71.	IBM (IBM)	B	Dividend	L	T					
72.	Kyndryl Hldgs Inc (KD) (X)		None			Sold	12/12/23	J		
73.	Pfizer Inc (PFE)	C	Dividend			Sold	12/12/23	K		
74.	SPDR S&P ETF Trust (SPY)	B	Dividend	M	T					
75.	SSGA Active Multi Asset (RLY)	A	Dividend			Sold	12/12/23	J		
76.	Vanguard Intl Equity ETF Index Fds FTSE All World (VEU)	A	Dividend	K	T					
77.	Vanguard Total Bond Market (BND)	A	Dividend			Sold	05/10/23	K		
78.	Viatris Inc Com (VTRS)	A	Dividend			Sold	12/12/23	J		
79.	US Treasury Notes	C	Interest			Redeemed	02/15/23	N		
80.	US Treasury Bills		None	P1	T	Buy	02/10/23	N		
81.						Buy (add'l)	02/15/23	O		
82.	American Funds Balanced FD CL A (ABALX)	D	Dividend	N	T					
83.	American Funds Inflation Linked Bond Fun Cl A (BFIAX)	A	Dividend	K	T					
84.	American Funds Global Balanced FD CL A (GBLAX)	D	Dividend	N	T					
85.	American Funds Mutual FD Inc A (AMRMX)	C	Dividend	M	T					

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86.	Total Fd Solution Cromwell Marketfield (MFLDX)		None			Sold	12/12/23	J	A	
87.	American Fds Short Term Tax Exempt Bd A (ASTEX)	D	Dividend	N	T					
88.	Alps/Red Rocks Global Opportunity Fund Class I (LPEIX)	A	Dividend			Sold	12/12/23	J		
89.	American Funds Fundamental INVS Inc Class A (ANCFX)	D	Dividend	M	T					

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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.

Parenthetical numbers in Part VII are CUSIP numbers.

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544