AO 10
Rev. 1/2022

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
Ballou, Robert S.	United States District Court, Western District of Virginia	05/13/2022
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**
Magistrate Judge - full-time	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	1/1/2021 **to** 12/31/2021
	5b. ☐ Amended Report	
7. Chambers or Office Address		
210 Franklin Road, S.W. Suite 344 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 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.	President	Federal Bar Association of Wstern District of Virginia
2.	President	Ted Dalton Inn of Court
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.		
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.			
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.	2021	[redacted]
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
Ballou, Robert S.	05/13/2022

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 (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)	
1. USAA Bank	A	Interest	J	T					
2. First Citizens Bank	A	Interest	J	T					
3. Wells Fargo Bank		None	J	T					
4.									
5. Charles Schwab Brokerag (assets below) (H)									
6. -Charles Schwab Sweep Account	A	Interest	L	T	Sold (part)	07/25/21	K	A	
7.									
8. [redacted] Account # 1 (holdings listed below) (H)									
9. -Marsico Growth Fund	C	Dividend	J	T					
10. -USAA Growth & Income Fund	A	Dividend	J	T					
11. -USAA Money Market Fund	A	Dividend			Closed	07/28/21	J	A	
12.									
13. [redacted] Account # 2 (holdings listed below) (H)									
14. -Marsico Growth Fund	C	Dividend	J	T					
15. -USAA Growth & Income Fund	A	Dividend	J	T					
16. -USAA Money Market Fund	A	Dividend	J	T	Sold (part)	09/01/21	J	A	
17.									

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
Ballou, Robert S.	05/13/2022

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 (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. [redacted] Account #3 (holdings listed below) (H)									
19. -USAA Growth & Income Fund	A	Dividend	J	T					
20. -USAA Money Market Fund (now held at Victory Capital)	A	Dividend	J	T					
21.									
22. Principal Financial (formerly 403(b) Ret. Acc. (holdings below)(H)									
23. - JP Morgan Mid-Cap Value Fund	C	Dividend	K	T					
24. -Mass Mutual Select Mid-Cap Growth Class I	D	Dividend	K	T					
25. -American Funds EuroPac. Growth	B	Dividend	K	T					
26. Metropolitan West Total Return Bond Plan	A	Dividend	J	T					
27. -Vanguard Institutional Index 500	C	Dividend	L	T					
28.									
29. Vanguard Retirement Account (holdings below)(H)									
30. -Vanguard Health Care Fund Investor Shares	C	Dividend	L	T					
31. -Vanguard 500 Index	A	Dividend	J	T	Buy	05/17/21	J		
32. -Vanguard Small Cap Index	A	Dividend	J	T	Buy	05/17/21	J		
33. -Vanguard Cash Reserves Money Market	A	Dividend	M	T					
34.									

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

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35. T.Rowe Price Retirement Account (holdings below)(H)									
36. -T.Rowe Price Mid-Cap Growth Fund	C	Dividend	K	T					
37. -Tax Exempt Money Fund	A	Dividend	M	T					
38.									
39. Virginia 529 College Savings Plan # 1 (holdings below)(H)									
40. -Va529 FDIC Insured Fund		None	J	T	Sold (part)	01/19/21	K	B	
41.					Buy (add'l)	06/28/21	J		Rec'd from 529#2
42.					Sold (part)	07/13/21	K	B	
43.					Buy (add'l)	12/20/21	J		Rec'd from 529#2
44. Virginia 529 College Savings Plan # 2 (holdings below)(H)									
45. -Va. 529 2021 Portfolio		None	K	T	Sold (part)	01/15/21	J	B	
46.					Distributed (part)	06/28/21	J		Transferred to 529#1
47. -Va 529 Conservative Income Fund		None	J	T	Sold (part)	01/15/21	J	A	
48.					Distributed (part)	06/28/21	J		Transferred to 529#1
49.					Sold (part)	07/26/21	J	A	
50.					Sold (part)	08/17/21	J	A	
51.					Distributed (part)	12/20/21	J		Transferred to 529#1

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52. -VA529 FDIC- Insured Fund		None	J	T	Sold (part)	01/15/21	J	A	
53.					Sold (part)	07/26/21	J	A	
54.									
55. Virginia 529 College Savings Plan # 3 (holdings below)(H)									
56. -Va. 529 2021 Portfolio		None	K	T	Sold (part)	07/26/21	J	B	
57. -Va 529 - Conservative Income Fund		None	K	T	Sold (part)	07/26/21	J	A	
58. -Va 529 - FDIC Insured Fund		None	K	T	Sold (part)	07/26/21	J	A	
59.									
60. USAA SEP Acct.(Now Charles Schwab IRA No. 1) - (holdings below)(H)									
61. -Schwab Value Advantage Money Fund	A	Dividend	J	T					
62. -Schwab US MC EFT	A	Dividend	K	T	Buy	05/17/21	K		
63. -Schwab US Dividend Equity ETF	A	Dividend	K	T	Buy	05/17/21	K		
64. -Schwab Sweep Account	A	Interest	N	T					
65. -T.Rowe Price Small Cap Value	A	Dividend	J	T	Buy	05/17/21	K		
66.									
67. Charles Schwab Roth IRA (holdings below) (H)									
68. -Schwab Value Advantage Money Fund	A	Dividend	K	T					

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69.										
70.	USAA Trad. IRA No. 2(now Charles Schwab IRA No. 2 (holdings below)(H)									
71.	-Pfizer, Inc.	A	Dividend	K	T					
72.	-Viatris, Inc.	A	Dividend	J	T					
73.	-Schwab Value Advantage Money Fund	A	Dividend	J	T					
74.	-T.Rowe Price Blue Chip Growth	B	Dividend	K	T					
75.	-T.Rowe Price Dividend Growth Fund	A	Dividend	K	T					
76.	-Tweedy Browne Worldwide High Dividend Yield	B	Dividend	J	T					
77.	-Vanguard Explorer Investor Class	C	Dividend	K	T					
78.										
79.	Payflex HSA Account (Holdings Below)(H)									
80.	-Payflex HSA Deposit Account	A	Interest	J	T					
81.	-American Funds 2035 Target	A	Dividend	J	T					
82.	-Dodge & Cox Income	A	Dividend	J	T					
83.	-Dodge & Cox International Stock Fund	A	Dividend	J	T					
84.	-Parnassus Mid-Cap Fund	A	Dividend	J	T					
85.	-Vanguard Dividend Appreciation Fund	A	Dividend	J	T					

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

Regarding the [redacted] Account #1 and #2 at Lines 8 to 16, I reported these accounts as closed and transferred in 2020. These are accounts for my adult, college [redacted] and in 2020, the [redacted] became the sole owners of the accounts. I do not have access to the accounts and do not control any investmet decisions. My [redacted] remained [redacted] for tax purposes in both 2020 and 2021, and out of an abuncance of caution, I am reporting these accounts this year to assure a full and transparent disclosure. I will submit an amended 2020 Financial Disclosure Report to disclose the holdings in these accounts in 2020 if deemed necessary. The relative values and dividends received in 2020 are not materially different than reported in 2021.

The distributions reported from Virginia 529 College Savings Plan #2 to Virginia 529 College Savings Plan #1 at lines 41, 43, 46, 48, and 51 were transfers of assets which did not result in the sale of any assets or any realized gain.

Name of Person Reporting	Date of Report
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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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544