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 |
|---|---|---|
| Payne, Robert E. | United States District Court Eastern District of Virginia | 08/04/2022 |
| **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** |
| Senior Article III Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021<br>**to**<br>12/31/2021 |
| **7. Chambers or Office Address** | | |
| United States District Court<br>701 E. Broad Street, Suite 7310<br>Richmond, Virginia 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. | |
| 2. | |
| 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. | | |
| 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 |
|---|---|
| **Payne, Robert E.** | 08/04/2022 |

## 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 | 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) | |
| 1. IRA #1 | | | | | | | | | |
| 2. --AMG Mngs Skyline Special | | | J | T | Buy (add'l) | 03/26/21 | J | | |
| 3. -- Artisan Mid Cap Value Fund | | None | K | T | | | | | |
| 4. -- Blackrock Hi Yield BD | | None | K | T | | | | | |
| 5. --Blackstone Alt Mult-Strat | | None | K | T | Buy (add'l) | 03/26/21 | J | | |
| 6. --Calamos Market Neutral Inc | | None | K | T | | | | | |
| 7. --Cullen High Dividend Equity | | None | K | T | | | | | |
| 8. -- GQG Partners Emrg Mkts | | None | K | T | | | | | |
| 9. --Invesco Dynamic Large Cap Val | | None | K | T | | | | | |
| 10. --Invesco Opp Intl Growth | | None | K | T | Buy (add'l) | 12/16/21 | J | | |
| 11. --Lazard Emerg Mkts Core | | | K | T | | | | | |
| 12. -- Loomis Growth | | None | J | T | | | | | |
| 13. -- Mondrian Intl EQ Value | | None | K | T | | | | | |
| 14. --Oakmark Fund Advisor | | None | K | T | | | | | |
| 15. --Oakmark International Advisor | | None | K | T | | | | | |
| 16. -- PGIM Jennison MLP | | None | K | T | | | | | |
| 17. -- PGIM Total Return Bond | | None | L | T | Buy (add'l) | 03/26/21 | 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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| 18. | | | | | Buy (add'l) | 12/20/21 | J | | |
| 19. --Pimco Short Term | | None | K | T | | | | | |
| 20. --Polen Growth Institutional | | None | K | T | | | | | |
| 21. -- Thornburg Limited-Trm Inc | | None | K | T | Buy (add'l) | 03/26/21 | J | | |
| 22. | | | | | Buy (add'l) | 12/20/21 | J | | |
| 23. -- Virtus Kar Sm Md Cp Core | | None | K | T | | | | | |
| 24. --Virtus MultiSector Short Term Bond | | None | L | T | | | | | |
| 25. | | | | | | | | | |
| 26. IRA #2 | | | | | | | | | |
| 27. --AB Small Cap Grw Adv | | None | J | T | | | | | |
| 28. -- Artisan Midcap Value | C | Dividend | | | Sold (part) | 04/09/21 | J | | |
| 29. | | | | | Sold (part) | 09/17/21 | J | | |
| 30. --AMG Mngs Skyline Special | | None | J | T | | | | | |
| 31. --AMG Montrusco Boltn | C | Dividend | J | T | Sold (part) | 09/17/21 | J | | |
| 32. | | | | | Buy (add'l) | 12/16/21 | J | | |
| 33. -- Blackrock Equity Div. A | | None | J | T | | | | | |
| 34. -- Blackrock High Yield Bd | | None | J | T | Buy (add'l) | 04/09/21 | J | | |

| | | | | | |
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| 35. | | | | | Sold (part) | 06/04/21 | J | D | |
| 36. -- Columbia Select LG CP Growth | B | Dividend | J | T | | | | | |
| 37. --Delaware Ivy Mid Cap Growth | C | Dividend | J | T | Sold (part) | 06/04/21 | J | B | |
| 38. | | | | | Sold (part) | 09/17/21 | J | B | |
| 39. -- Invesco Opp Intl Growth | C | Dividend | J | T | Sold (part) | 04/09/21 | J | B | |
| 40. | | | | | Sold (part) | 08/16/21 | J | B | |
| 41. | | | | | Sold (part) | 09/17/21 | J | B | |
| 42. | | | | | Buy (add'l) | 12/20/21 | J | | |
| 43. -- Lazard Emerging Markets Fund | | None | J | T | | | | | |
| 44. --MFS Int'l Value | B | Dividend | J | T | Sold (part) | 09/17/21 | J | B | |
| 45. -- Oakmark Fund Advisor | C | Dividend | J | T | Sold (part) | 04/09/21 | J | C | |
| 46. --Pimco Enhanced Short Mtrt | | | | | Buy | 09/17/21 | J | | |
| 47. -- Pimco Low Duration A | | None | J | T | Buy (add'l) | 04/09/21 | J | | |
| 48. | | | | | Sold (part) | 06/04/21 | J | B | |
| 49. | | | | | Buy (add'l) | 09/17/21 | J | | |
| 50. --Pimco Short Term | | None | J | T | Buy (add'l) | 04/09/21 | J | | |
| 51. | C | Dividend | | | Sold | 06/04/21 | J | C | |

| | | | | | |
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| 52. -- Virtus MultiSect Short Term Bond | B | Dividend | J | T | Buy (add'l) | 04/09/21 | J | | |
| 53. | | | | | Sold (part) | 06/04/21 | J | B | |
| 54. | | | | | Buy (add'l) | 09/17/21 | J | | |
| 55. -- Virtus Vontobel Merg Mkt Opp | | None | J | T | | | | | |
| 56. -- Western Asset Core Plus Portfolio | | None | J | T | Buy (add'l) | 04/19/21 | J | | |
| 57. | | | | | Buy (add'l) | 06/04/21 | J | | |
| 58. | | | | | Buy (add'l) | 09/17/21 | J | | |
| 59. | | | | | | | | | |
| 60. BROKERAGE ACCOUNT #1 | | | | | | | | | |
| 61. --AbbVie Inc Com | | None | J | T | | | | | |
| 62. -- Autodesk Inc. | | None | J | T | | | | | |
| 63. -- Biogen | | None | J | T | | | | | |
| 64. -- Broadcom Inc. | | None | J | T | | | | | |
| 65. -- Citrix Systems Inc. (Y) | | | | | | | | | |
| 66. -- Comcast Corp | | None | J | T | | | | | |
| 67. --Crowdstrike Hldgs Inc. (X) | | None | J | T | | | | | |
| 68. --Discovery Inc. | B | Dividend | J | T | Sold (part) | 02/22/21 | J | B | |

| | | | | | |
|---|---|---|---|---|---|
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| 69. | | | | | Buy (add'l) | 04/16/21 | J | | |
| 70. | | | | | Sold (part) | 06/15/21 | J | B | |
| 71. --Docusign Inc (X) | | | J | T | | | | | |
| 72. -- Dolby Cla | | None | J | T | | | | | |
| 73. -- Freeport McMoran | | None | J | T | | | | | |
| 74. -- Guardian Health Inc | | None | J | T | | | | | |
| 75. --Hubspot , Inc. (X) | | None | J | T | | | | | |
| 76. -- Invesco Dynamic Large Cap Val | C | Dividend | K | T | Sold (part) | 03/12/21 | J | B | |
| 77. | | | | | Sold | 05/28/21 | J | B | |
| 78. -- Ionis Pharmaceuticals Inc (Y) | | | | | | | | | |
| 79. --Ishares Core S&P | C | Dividend | | | Buy | 03/16/21 | J | | |
| 80. | | | | | Sold (part) | 04/16/21 | J | B | |
| 81. | | | | | Buy (add'l) | 06/15/21 | J | | |
| 82. | | | | | Sold | 07/16/21 | J | B | |
| 83. --Johnson Ctls Intl Plc | | None | J | T | | | | | |
| 84. -- L-3 Harris Technologies Inc | | None | J | T | | | | | |
| 85. -- Mainstay McKay Shtrm Muni | | None | L | T | Buy (add'l) | 01/28/21 | J | | |

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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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| 86. | | | | | Buy (add'l) | 02/22/21 | J | | |
| 87. --Mandiant, Inc. | A | Dividend | | | Sold | 12/13/21 | J | A | |
| 88. -- National Oilwell Varco Inc. | A | Dividend | | | Sold | 06/23/21 | J | A | |
| 89. -- Nuance Communications | A | Dividend | | | Sold | 10/06/21 | J | A | |
| 90. -- Nucor Corp | A | Dividend | | | Sold | 08/25/21 | J | A | |
| 91. -- Pentair Ltd | | None | J | T | | | | | |
| 92. -- Seagate Technology, Inc. | | None | J | T | | | | | |
| 93. -- TE Connectivity Ltd | | None | J | T | | | | | |
| 94. -- Thornburg Ltd Trm Muni | | None | L | T | Buy (add'l) | 01/28/21 | J | | |
| 95. | | | | | Buy (add'l) | 02/22/21 | J | | |
| 96. --Twitter Inc | | None | J | T | Sold (part) | 02/22/21 | J | B | |
| 97. -- UnitedHealth Gp Inc | | None | J | T | | | | | |
| 98. -- Vertex Pharmaceuticals | | None | J | T | Buy (add'l) | 07/16/21 | J | | |
| 99. --Western Digital Corporation | | None | J | T | | | | | |
| 100. --Wolfspeed Inc. | | None | J | T | | | | | |
| 101. | | | | | | | | | |
| 102. BROKERAGE ACCOUNT #2 | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Payne, Robert E.** | 08/04/2022 |

## 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 | 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) | |
| 103. -- MorganStanley - Cash | A | Interest | J | T | | | | | |
| 104. -- Western Asset Managed Municipal | A | Distribution | J | T | | | | | |
| 105. | | | | | | | | | |
| 106. | | | | | | | | | |
| 107. | | | | | | | | | |
| 108. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Payne, Robert E.** | 08/04/2022 |

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

1. NAME CHANGE: AMG Mngs Skyline Special, p. 4, line 2 and on p. 5, line 30 is a name change of the asset, AMG Mngrs Silvercrest, p. 4, line 4 and on p. 7, line 68 on the 2020 Amended Report.

2. NAME CHANGE: AMG Montrusco Boltn, p. 5, line 31 is a name change of the asset, Aston/Montag & Caldwell Growth, p. 7, line 67 on the 2020 Amended Report.

3. NAME CHANGE: Delaware Ivy Mid Cap Growth, p. 6, line 37 is a name change of the asset, Ivy Mid Cap Growth, p. 8, line 75 on the 2020 Amended Report.

4. NAME CHANGE: Discovery Inc., p. 7, line 68 is a name change of asset, Discovery Communications, p. 9, line 96 on the 2020 Amended Report.

5. NAME CHANGE: Mandiant, Inc., p. 9, line 87 is a name change of the asset, Cree Research Inc., p. 9, line 95 on the 2020 Amended Report.

6. NAME CHANGE: Wolfspeed Inc., p. 9, line 100 is a name change of the asset, Fireeye Inc., p. 9, line 98 on the 2020 Amended Report.

| Name of Person Reporting | Date of Report |
|---|---|
| **Payne, Robert E.** | 08/04/2022 |

## 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 E. Payne**

**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