

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Agee, George S.	2. Court or Organization 4th Circuit	3. Date of Report 04/23/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Fourth Circuit U.S. Court of Appeals 1100 E. Main Street Richmond, VA 23218		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Bridgewater College
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Commonwealth of Virginia-Retirement Income	\$72,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Carilion Clinic-Salary
2. 2017	RGC Resources, Inc. - Director Fees
3. 2017	Hometown Bank - Director Fees
4. 2017	Health Care Realty Trust Incorporated - Director Fees

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Hospital Association	10/31/2017-11/10/2017	Beijing, China - Taipei, Taiwan	Spouse's AHA meeting	Transportation, meals, hotel
2.				
3.				
4.				
5.				

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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.		

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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. 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)	(5) Identity of buyer/seller (if private transaction)
1. AMNB	A	Dividend	J	T					
2. SUWI, LLC - (H)									
3. -Rental Property #1 Roanoke, VA	C	Distribution	L	W					
4. Healthcare Realty Trust, Inc.	B	Dividend	M	T					
5. Agee Mill, LLC	A	Distribution	L	W					
6. RGC Resources, Inc.	D	Dividend	N	T					
7. First Citizens Bank Account	A	Interest	J	T					
8. Hometown Bank	D	Dividend	M	T					
9. BBT	A	Dividend	J	T					
10. DWGAX	A	Dividend	J	T					
11. MSFT	A	Dividend			Donated				
12. CAIBX	B	Dividend			Donated				
13. CWGIX	A	Dividend			Donated				
14. ANCFX	B	Dividend			Donated				
15. AGTHX	B	Dividend			Donated				
16. ANWPX	A	Dividend			Donated				
17. NEWFX	A	Dividend	J	T					

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

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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		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)	(5) Identity of buyer/seller (if private transaction)

18. IGAAX	A	Dividend			Donated				
19. PNFP (formerly BNCN}	A	Int./Div.			Donated				
20. NYVCX	A	Dividend	J	T					
21. ACERX	A	Dividend			Donated				
22. AFTEX	A	Dividend	K	T					
23. AMECX	A	Dividend			Donated				
24. AFL	A	Dividend			Donated				
25. STLD	A	Dividend			Donated				
26. SBPLX	A	Dividend	J	T					
27. FSBCX	A	Dividend			Donated				
28. Edward Jones Cash Account	A	Interest	J	T					
29. AAPL	A	Dividend			Donated				
30. RCC Equity Group, LLC	A	Dividend	K	U					
31. IRA #1* - (H)									
32. -IGAAX	A	Dividend	J	T					
33. -ANWPX	A	Dividend	J	T					
34. -CWGIX	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. -AMRMX	A	Dividend	K	T					
36. -ANCFX	A	Dividend	K	T					
37. -CAIBX	A	Dividend	K	T					
38. -AMECX	A	Dividend	K	T					
39. -AMCPX	A	Dividend	K	T					
40. -AGTHX	A	Dividend	K	T					
41. -NEWFX	A	Dividend	J	T					
42. Retirement Account #1 Virginia Deferred Compensation Plan - (H)									
43. -VRS Stock Fund	C	Dividend	M	T					
44. -Stable Value Fund	A	Dividend	L	T					
45. -VRS Int'l Stock Fund	C	Dividend	L	T					
46. -VRS Small/Mid Cap Stock Fund	B	Dividend	K	T					
47. IRA #2 - (H)									
48. -IGAAX	A	Dividend	J	T					
49. -ANWPX	A	Dividend	J	T					
50. -CWGIX	A	Dividend	J	T					
51. -AMRMX	A	Dividend	J	T					

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52. -ANCFX	A	Dividend	J	T					
53. -CAIBX	A	Dividend	J	T					
54. -AMECX	A	Dividend	J	T					
55. -AMCPX	A	Dividend	J	T					
56. -AGTHX	A	Dividend	J	T					
57. -NEWFX	A	Dividend	J	T					
58. Retirement Account #2 Carilion Health System Sec 403(b) Plan - (H)									
59. -Prudential Guaranteed Income Fund 28	A	Interest	J	T					
60. -Metropolitan West Total Return Bond Plan	D	Dividend	M	T					
61. -American Funds Euro Pacific Growth	A	Dividend	J	T					
62. -JP Morgan Mid Cap Value (formerly Goldman Sachs MDCAP Val/A)	D	Dividend	M	T					
63. -Prudential Jennison Sm Company A*1	D	Dividend	M	T					
64. -Victory Munder Mid Cap Core Gr FdY	A	Dividend	J	T					
65. -Vanguard Instl Index I	E	Dividend	O	T					
66. Retirement Acct #3 Carilion Health System Sec 457(b) Plan - (H)									
67. -Metropolitan West Total Return Bond Plan	B	Dividend	L	T					
68. -J Hancock Disciplined Value R6	D	Dividend	M	T					

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69. -Vanguard Instl I	D	Dividend	M	T					
70. Retirement Acct #4 Equivest TSA 501(c)(3) Plan - (H)									
71. -EQ Guaranteed Interest	A	Dividend	J	T					
72. -EQ International Equity Index	A	Dividend	J	T					
73. -AXA/AB Small Cap Growth	A	Dividend	J	T					
74. -AXA MidCap VA1 Managed Vol	A	Dividend	J	T					
75. -EQ Black Rock Basic	B	Dividend	K	T					
76. -Equitable Multimanager Core Bond	A	Dividend	J	T					
77. -Equitable Charter Multi Sector Bond	A	Dividend	J	T					
78. Retirement Acct #5 Alliance Benefit Group Capital ACCU.AC - (H)									
79. -FTCIMA	C	Dividend			Sold	03/31/17	M	B	
80. FAIGX	C	Dividend	M	T	Buy	04/01/17	L		
81. VFINX	C	Dividend	M	T	Buy	04/01/17	L		
82. Life Insurance Policy #1 Natl Life Ins Co Whole Life	C	Dividend	M	T					
83. Life Insurance Policy #2 Equitable Variable Life - (H)									
84. -AXA Moderate Allocation	A	Dividend	J	T					
85. -EQ/Common Stock Index	A	Dividend	J	T					

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86. -Multimanager, Aggressive Equity	A	Dividend	J	T					
87. Fed Govt OBLIG Fund #395	A	Interest	J	T	Buy	08/01/17	J		
88. Virginia State College Bldg Authority Bond due 8/1/34	A	Dividend	M	T	Buy	08/01/17	L		
89. US Treasury Notes T1.875.22	A	Interest	L	T	Buy	08/01/17	L		
90. US Treasury Notes T2.2527	A	Interest	L	T	Buy	08/01/17	L		
91. Spotsylvania Co Va Ser A Bonds	B	Dividend	M	T	Buy	08/01/17	M		
92. Arlington Co Va Ind Dev Auth Rev Ref Bonds	B	Dividend	M	T	Buy	08/01/17	M		
93. Virginia St Res Auth Rev Pooled State AID Withholding Bonds	B	Dividend	M	T	Buy	08/01/17	M		
94. Alexandria Va Go Ref Ser C Bonds	B	Dividend	M	T	Buy	08/01/17	M		
95. Virginia State CLG Bldg Auth 21st Century Coll-Ser C Bonds	B	Dividend	M	T	Buy	08/01/17	M		
96. Isle of Wight County Va Go Ref Ser B Bonds	B	Dividend	M	T	Buy	08/01/17	M		
97. Virginia State Public School Authority Sch Financing Ref-Ser B Bonds	B	Dividend	M	T	Buy	08/01/17	M		
98. OWLSX	E	Dividend	P1	T	Buy	08/01/17	P1		
99. OWSMX	D	Dividend	N	T	Buy	08/01/17	N		
100. OWACX	D	Dividend	N	T	Buy	08/01/17	N		
101. OWSOX	D	Dividend	N	T	Buy	08/01/17	N		

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

1. Part VII, Item 47, in 2016 report was listed in error as it is a duplicate of Item 45, so it has been deleted.

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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/ George S. Agee

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