

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Gregory, Roger L.	2. Court or Organization US Court of Appeals - 4th Cir.	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 1000 East Main Street Suite 212 Richmond, VA 23219-3517		
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	University of Richmond
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2014	Survivor Income Pension - Altria Group, Inc.	\$44,164.64
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Lartease M. Tiffith, Esq. - Former Law Clerk	Oct. 10, 2014 - Oct. 13, 2014	Boulder, CO	Officiated Former Law Clerk's Wedding	Travel & Lodging
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Suntrust Bank Interest Checking	A	Interest	K	T					
2. Prudential Insurance Annuity	C	Dividend	L	T					
3. ManuLife Financial - Common Stock	B	Dividend	K	T					
4. New York Life IRA - Fixed Annuity	A	Interest	J	T					
5. RiverSource Life Insurance Company IRA Fixed	A	Interest	K	T					
6. Consolidated Bank & Trust/Premier Bank		None	J	T					
7. John Hancock Life Ins. - term & whole life policy	B	Dividend	L	T					
8. New York Life Ins. Co. - term & whole life policy	B	Interest	J	T					
9. Intel Corp. - Common Stock	A	Dividend	J	T					
10. Call Federal Credit Union		None	J	T					
11. Metropolitan Life Control Account	A	Interest	J	T					
12. SunTrust Money Market Account	A	Interest	L	T					
13. John Hancock Safe Access Account	A	Interest	J	T					
14. Fidelity Mgmt. Trust Co.-IRA									See Part VIII. Explanation
15. Fidelity Gov't Money Mkt.	B	Dividend	J	T					See Part VIII. Explanation
16. Altria Group, Inc.	A	Dividend	J	T	Sold (part)	06/16/14	K	C	
17. Kraft Foods Group, Inc. COM NPV	A	Dividend			Sold	06/16/14	J	B	

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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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	(1) Amount Code I (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. Mondelez Int'l Inc. COM	A	Dividend			Sold	06/16/14	J	C	
19. Philip Morris Int'l Inc. COM	A	Dividend	J	T	Sold (part)	06/16/14	K		See Part VIII. Explanation
20. Strategic Advisers Core Fund	A	Dividend	L	T	Open	06/16/14	L		
21. Strategic Advisers Growth Fund	A	Dividend	K	T	Open	06/16/14	K		
22. Strategic Advisers Value Fund	C	Dividend	K	T	Open	06/16/14	K		
23. Strategic Advisers Emerging Markets	A	Dividend	J	T	Open	06/16/14	J		
24. Strategic Advisers U.S. Opportunity Fund		None			Open	06/16/14	K		See Part VIII. Explanation
25. Same Fund as Number 24 (previous line)		None			Closed	08/08/14	K		See Part VIII. Explanation
26. Strategic Advisers Small-Mid Cap Fund	A	Dividend	K	T	Open	06/16/14	K		
27. Strategic Advisers International Fund	C	Dividend	L	T	Open	06/16/14	L		
28. Strategic Advisers Short Duration Fund	A	Dividend	J	T	Open	06/16/14	J		
29. Strategic Advisers Income Opportunities	A	Dividend	J	T	Open	06/16/14	J		
30. Strategic Advisers Core Income Fund	A	Dividend	K	T	Open	06/16/14	K		
31. FIMM MMKT PORT INST	A	Dividend	J	T	Open	06/16/14	J		
32. Arden Alternative Strategies Class I	A	Dividend	J	T	Open	06/16/14	J		
33. Blackstone Alternative Multi Manager I	A	Dividend	J	T	Open	06/16/14	J		
34. PIMCO Total Return Administrative SHS	A	Dividend	J	T	Open	06/16/14	J		

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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	
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35. Fidelity Short Term Bond	A	Dividend	J	T	Open	06/16/14	J		
36. Fidelity Total Bond	A	Dividend	J	T	Open	06/16/14	J		
37. Temple Global Bond Class A	A	Dividend	J	T	Open	06/16/14	J		
38. Fidelity Deferred Annuity Account		None	M	T	Open	06/16/14	M		

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

III. NON-INVESTMENT INCOME.

A. Filer's

Pursuant to § 102 of the Act, I have not received honoraria and/or non-investment income for 2014. Donation on my behalf has been made to a charitable organization. However, I did not receive income and/or derive financial benefit from the charitable organization. The contribution did not exceed \$2000.00. 5 U.S.C. app § 501 (b) & (c).

The contribution was as follows:

December 25, 2014 - Gillfield Baptist Church, Petersburg, VA - \$300.00 Keynote Speaker

A confidential recipient list is reported under separate cover. Section 102(a)(1)(A).

VII. INVESTMENTS AND TRUSTS

Line 14: Fidelity Management Trust Co. ("Fidelity") manages all of the IRA investment assets. The income and value is not reported on Line 14 because I report the income and value of the stocks, mutual funds, bonds, and deferred annuity account managed by Fidelity Management Trust Company on Lines 15 through 38.

Line 15: Fidelity Gov't Money Market funds were used to purchase the mutual funds, bonds, and annuity listed on lines 20 through 38.

Line 19: The partial sale of Philip Morris Int'l Inc. COM stock on June 16, 2014 resulted in a loss. Therefore, I left Column D(4) blank.

Line 24 and Line 25: Strategic Advisers U.S. Opportunity Fund is listed on Line 24 and also on Line 25 because the mutual fund was opened on June 16, 2014 and closed on August 8, 2014 (the fillable form would not allow opening and closing transactions to be listed on the same Line). The closure on August 8, 2014 resulted in a loss. Therefore, I left Column D(4) blank on Line 25.

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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/ Roger L. Gregory**

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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Washington, D.C. 20544