

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/15/2013
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 01/01/2012 to 12/31/2012
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	ChildFund International
2.	Trustee	Virginia Historical Society
3.	Trustee	University of Richmond
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.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1. See Section VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

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 AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Florida Coastal School of Law	Feb. 1, 2012 - Feb 2, 2012	Jacksonville, FL	Keynote Speaker	Travel, Lodging, Meal
2. International Assoc. of Defense Counsel (IADC)	Feb. 13, 2012 - Feb. 14, 2012	Palm Springs, CA	Keynote Speaker	Travel, Lodging
3. University of Michigan Law School	April 2, 2012 - April 2, 2012	Detroit, MI	Moot Court Competition	Travel, Meal
4. ABA Sections Meeting	June 1, 2012 - June 2, 2012	Washington, DC	ABA Committee Meeting	Travel, Lodging, Meals
5. Just the Beginning Foundation	Sept. 21, 2012 - Sept. 23, 2012	Chicago, IL	Professional Assoc. Conference	Travel, Lodging, Meals

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6.	Harvard Law School	Oct. 13, 2012 - Oct. 13, 2012	Boston, MA	Cooper v. Aaron Conference	Travel
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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	J	T					
2. Prudential Insurance Annuity	D	Dividend	L	T					
3. Philip Morris Profit Sharing Plan (401K)	G	Dividend	O	T					
4. ManuLife Financial - Common Stock	B	Dividend	K	T					
5. New York Life IRA - Fixed Annuity	A	Interest	J	T					
6. RiverSource Life Insurance Company IRA Fixed	A	Interest	K	T					
7. Consolidated Bank & Trust/Premier Bank	A	Interest	J	T					
8. John Hancock Life Ins. - term & whole life policy	B	Dividend	L	T					
9. New York Life Ins. Co. - term & whole life policy	A	Interest	J	T					
10. Intel Corp. - Common Stock	A	Dividend	J	T					
11. Call Federal Credit Union	A	Interest	J	T					
12. Kraft Foods, Inc. - Common Stock	A	Dividend			Sold	02/13/12	J	A	Stock Market
13. Metropolitan Life Control Account	D	Interest	M	T					
14. SunTrust Money Market Account	A	Interest	K	T					
15. John Hancock Safe Access Account	A	Interest	J	T					
16. Altria Group, Inc. & Philip Morris Int'l Common Stocks	A	Dividend	J	T					
17.									

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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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 2012. 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:

February 3, 2012 - Florida Coastal School of Law - \$1500.00 - Keynote Speaker

A confidential recipient list is reported under separate cover.

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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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