

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) Gregory, Roger L.	2. Court or Organization US Court of Appeals - 4th Cir.	3. Date of Report 05/15/2018
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 01/01/2017 to 12/31/2017
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.	Trustee	University of Richmond
2.	Trustee	John Marshall Foundation
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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	Survivor Income Pension - Altria Group, Inc.	\$20,053.56
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	Kelly Services, Inc. - Wages
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. University of Arizona James E. Rogers College of Law	01/27/2017 to 01/29/2017	Phoenix, AZ	2017 O'Connor Justice Prize Dinner	Travel, Lodging & Meals
2. University of Houston Law Center	04/02/2017 to 04/03/2017	Houston, TX	Jurist-In-Residence	Travel, Lodging, & Meals
3. University of Michigan Law School	04/12/2017 to 04/12/2017	Ann Arbor, MI	Moot Court	Travel
4. American Bar Association (ABA)	05/01/2017 to 05/02/2017	Washington, DC	Panel Speaker	Travel & Lodging
5. North Carolina Bar Association (NCBA)	06/22/2017 to 06/23/2017	Asheville, NC	Keynote Speaker	Travel/Mileage & Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

6.	South Carolina Defense Trial Attorneys' Association (SCDTAA)	11/09/2017 to 11/12/2017	Sea Island, GA	Keynote Speaker	Travel, Lodging, & Meals
7.	The Green Bag, Inc.	11/14/2017 to 11/15/2017	Washington, DC	Reinactment of Supreme Court Argument	Travel & Lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Direct Loan - U.S. Dep't of Education	Student Loan	K
2.	SLM Corp. - Sallie Mae - U.S. Dep't Education	Student Loan	J
3.	American Express	Credit Card	J
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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. Wells Fargo Interest Checking "(X)"	A	Interest	K	T	Open	01/31/17	K		
3. Prudential Insurance Variable Annuity "(H)"									See Part VIII. Explanation
4. Prudential Jennison	A	Dividend	J	T					
5. Prudential Flexible Managed	D	Dividend	L	T					
6. Prudential High Yield Bond	B	Dividend	K	T					
7. ManuLife Financial - Common Stock	B	Dividend	K	T					
8. New York Life IRA - Fixed Annuity	A	Interest	K	T					
9. RiverSource Life Insurance Company IRA Fixed	A	Interest	K	T					
10. Consolidated Bank & Trust/Premier Bank	A	Interest	L	T					
11. John Hancock Life Ins. - term & whole life policy	B	Dividend	J	T					
12. New York Life Ins. Co. - term & whole life policy	B	Interest	J	T					
13. Intel Corp. - Common Stock	A	Dividend			Sold	04/21/17	J	D	Stock Market
14. Call Federal Credit Union		None	J	T					
15. SunTrust Money Market Account	A	Interest	J	T					
16. Altria Group, Inc.	A	Dividend	J	T					
17. Philip Morris Int'l, Inc.	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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)

18. Fidelity Mgmt. Trust Co. - IRA "(H)"									See Part VIII. Explanation
19. Fidelity Gov't Money Mkt.	A	Dividend	J	T					
20. Strategic Advisers Core Fund	D	Dividend	L	T	Sold (part)	02/03/17	J		Stock Market
21.					Sold (part)	03/09/17	J		Stock Market
22.					Sold (part)	04/24/17	J		Stock Market
23.					Sold (part)	08/11/17	J		Stock Market
24.					Sold (part)	10/27/17	J		Stock Market
25.					Sold (part)	11/13/17	J		Stock Market
26.					Sold (part)	12/13/17	J		Stock Market
27. Strategic Advisers Growth Fund	C	Dividend	K	T	Sold (part)	02/03/17	J		Stock Market
28.					Sold (part)	04/24/17	J		Stock Market
29.					Sold (part)	05/25/17	J		Stock Market
30.					Sold (part)	08/11/17	J		Stock Market
31.					Sold (part)	11/13/17	J		Stock Market
32. Strategic Advisers Value Fund	C	Dividend	K	T	Sold (part)	08/11/17	J		Stock Market
33.					Sold (part)	11/13/17	J		Stock Market
34.					Sold (part)	12/13/17	J		Stock Market

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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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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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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				
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35. Strategic Advisers Emerging Markets	A	Dividend	K	T	Sold (part)	05/25/17	J		Stock Market
36.					Sold (part)	08/11/17	J		Stock Market
37.					Sold (part)	11/13/17	J		Stock Market
38. Strategic Advisers Small-Mid Cap Fund	C	Dividend	K	T	Sold (part)	04/24/17	J		Stock Market
39.					Sold (part)	11/13/17	J		Stock Market
40. Strategic Advisers International Fund	B	Dividend	L	T	Sold (part)	02/03/17	J		Stock Market
41.					Sold (part)	05/25/17	J		Stock Market
42.					Sold (part)	10/27/17	J		Stock Market
43.					Sold (part)	11/13/17	J		Stock Market
44. Fidelity SAI U.S. Large Cap Index	A	Dividend	J	T	Buy (add'l)	08/11/17	J		Stock Market
45. Fidelity SAI International Index	A	Dividend	J	T	Buy (add'l)	04/24/17	J		Stock Market
46.					Buy (add'l)	05/25/17	J		Stock Market
47. Fidelity SAI Emerg Market Index	A	Dividend	J	T	Buy (add'l)	02/03/17	J		Stock Market
48. AQR Multi Strgy Alternative Class N	A	Dividend	J	T	Buy	11/13/17	J		Stock Market
49. AQR Managed Futures Fund CL N	A	Dividend	J	T	Buy (add'l)	04/24/17	J		Stock Market
50. Fidelity Total Bond "(H)"									See Part VIII. Explanation
51. Strategic Advisers Short Duration Fund	A	Dividend	K	T	Sold (part)	02/03/17	J		Stock Market

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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52.					Buy (add'l)	05/25/17	J		Stock Market
53.					Sold (part)	08/11/17	J		Stock Market
54.					Sold (part)	10/27/17	J		Stock Market
55.					Buy (add'l)	11/13/17	J		Stock Market
56. Strategic Advisers Income Opportunities	A	Dividend	J	T	Sold (part)	02/03/17	J		Stock Market
57.					Sold (part)	10/27/17	J		Stock Market
58. Strategic Advisers Core Income Fund	B	Dividend	M	T	Buy (add'l)	02/03/17	J		Stock Market
59.					Buy (add'l)	03/09/17	J		Stock Market
60.					Buy (add'l)	04/24/17	J		Stock Market
61.					Buy (add'l)	08/11/17	J		Stock Market
62.					Buy (add'l)	10/27/17	J		Stock Market
63.					Buy (add'l)	10/30/17	J		Stock Market
64.					Buy (add'l)	11/13/17	K		Stock Market
65.					Buy (add'l)	12/13/17	J		Stock Market
66. Templeton Global Bond Class A	A	Dividend			Sold (part)	02/03/17	J		Stock Market
67.					Sold	10/27/17	J	C	Stock Market
68. Eaton Vance GL Macro Absolute Rtn ADV I	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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69. PIMCO Commodity Real Return Inst	A	Dividend	J	T					
70. FIMM Government Portfolio: Instl CL	A	Dividend	J	T	Buy (add'l)	02/03/17	J		Stock Market
71.					Sold (part)	02/14/17	J		Stock Market
72.					Buy (add'l)	04/24/17	J		Stock Market
73.					Sold (part)	05/30/17	J		Stock Market
74.					Buy (add'l)	08/11/17	J		Stock Market
75.					Sold (part)	08/21/17	J		Stock Market
76.					Buy (add'l)	10/27/17	J		Stock Market
77.					Sold (part)	11/20/17	J		Stock Market
78.					Buy (add'l)	12/13/17	J		Stock Market
79. Fidelity Deferred Annuity Account	E	Dividend	M	T					
80. Fidelity Rollover IRA "Cash Account"	A	Interest	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)***VII. INVESTMENTS AND TRUSTS**

Line 3: Prudential Insurance Variable Annuity. No information is reported on Line 3 because I report all income and values for the sub-Funds of the Prudential Insurance Variable Annuity on Lines 4 through 6.

Line 18: Fidelity Management Trust Co. - IRA. No information is reported on Line 18 because I report all transactions, income, and values related to stocks, mutual funds, bonds, and the deferred annuity account managed by Fidelity Management Trust Company on Lines 19 through 79.

Line 50: Fidelity Total Bond. No information is reported on Line 50 because I report all transactions, income, and values related to the Bond accounts under Fidelity Total Bond on Lines 51 through 69.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2018

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544