

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Wilkinson III, James H.	2. Court or Organization Fourth US Circuit Court of Appeals	3. Date of Report 07/31/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Circuit Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 255 W. Main Street Room 230 Charlottesville, VA 22902		
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	Tuesday Evening Concert Series
2.	Director	Virginia Historical Society
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. to date	I will receive no salary from my former employer, the University of Virginia Law School. There will be no continuing participation (contd. Part VIII)
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. 2013	Oxford University Press, book royalties	\$1,100.00
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.)*

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. The Federalist Society	November 15-16	Washington, DC	Speaker	Hotel lodging/meals
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.)*

	<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.			
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. Trust #1									
2. Albemarle Corp Common Stock	A	Dividend	L	T					
3. AT&T Common Stock	D	Dividend	M	T					
4. Deere & Co Common Stock	D	Dividend	N	T					
5. Dupont E I De Nemours & Co Common Stock	C	Dividend	M	T					
6. Duke Energy Corp Common Stock	C	Dividend	L	T					
7. General Electric Co Common Stock	C	Dividend	M	T					
8. Johnson & Johnson Common Stock	B	Dividend	L	T					
9. Kraft Common Stock	A	Dividend	J	T					
10. Lily Ely & Co Common Stock	B	Dividend	L	T					
11. Merck & Co Common Stock	C	Dividend	M	T					
12. Mondelez Corp Common	A	Dividend	J	T					
13. Pfizer & Co Common Stock	B	Dividend	L	T					
14. Proctor & Gamble Co Common Stock	D	Dividend	N	T					
15. Providence & Worcester RR Common Stock	A	Dividend	L	T					
16. Royal Dutch Petroleum Shell Co Common Stock	D	Dividend	M	T					
17. Spectra Energy Corp Common Stock	B	Dividend	L	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 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. SunTrust Bank Inc Common Stock	A	Dividend	K	T					
19. Ridgeworth Fd - Large Cap Core Growth Fund					Sold	1/23/12	J	B	
20. Ridgeworth Fd - Sm Cap Val Equity	C	Dividend	M	T					
21. Ridgeworth Fd - MidCap Value Eqty	E	Dividend	M	T					
22. Ridgeworth Fd - Intl Equity	E	Dividend	N	T					
23. Ridgeworth Fd - Va Inter Mun Bond	E	Interest	P1	T					
24. Vanguard FTSE Emerging Mkts ETF	B	Dividend	K	T					
25. Federated Strategic Value Fd	D	Dividend	M	T					
26. Ridgeworth Fd - US Govt Sec Ultra Short	A	Interest	L	T					
27. Federated FD - TR MMMKT	A	Interest	M	T					
28. IRA #1									
29. Ridgeworth Fd - Mid Cap Value Equity	B	Dividend	J	T	Buy (add'l)	01/11/13	J		
30. Ridgeworth Fd - Large Cap Growth	D	Dividend	K	T					
31. Ridgeworth Fd - Large Cap Value Equity	D	Dividend	K	T					
32. Ridgeworth Fd - Intl Equity		None			Sold	02/06/13	K	B	
33. Ridgeworth Fd - Small Cap Value Equity	A	Dividend	J	T	Buy (add'l)	01/11/13	J		
34. Vanguard Dev Mkts Index Fd	A	Dividend	K	T	Buy	02/06/13	J		

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	O = \$500,001 - \$1,000,000	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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☐ 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)

35.					Buy (add'l)	05/23/13	J		
36. Vanguard FTSE Emerging Mkts ETF	A	Dividend	J	T	Buy	02/06/13	J		
37.					Buy (add'l)	05/23/13	J		
38. Federated FD - TR MMMKT	A	Interest	J	T					
39. Trust #2									
40. Albemarle Corp Common Stock	A	Dividend	K	T					
41. AT&T Common Stock	B	Dividend	K	T					
42. Dupont E I De Nemours & Co Common Stock	A	Dividend	K	T					
43. Duke Energy Corp Common Stock	A	Dividend	J	T					
44. Johnson & Johnson Common Stock	C	Dividend	M	T					
45. Lincoln Natl Corp Common Stock	B	Dividend	M	T	Sold (part)	05/20/13	K	E	
46.					Sold (part)	11/21/13	K	E	
47. Merck & Co Common Stock	B	Dividend	K	T					
48. Pfizer & Co Common Stock	A	Dividend	K	T					
49. Royal Dutch Petroleum Shell Co Common Stock	B	Dividend	K	T					
50. Spectra Energy Corp Common Stock	A	Dividend	J	T					
51. Ridgeworth Fd -Agressive Growth	C	Dividend	K	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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	(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)
52. Ridgeworth Fd - Va Inter Mun Bond	D	Interest	M	T	Buy (add'l)	02/06/13	J		
53. Federated FD - Strategic Value Fund	A	Dividend	K	T					
54. Ridgeworth Mid Cap Value Fund	C	Dividend	K	T	Buy	02/06/13	K		
55. Ridgeworth Small Cap Value Fund	A	Dividend	K	T	Buy	02/06/13	J		
56. Vanguard FTSE Emerging Mkts ETF	A	Dividend	K	T	Buy	02/06/13	K		
57.					Buy (add'l)	05/20/13	J		
58. Vanguard Develop Mkts Index Fd	B	Dividend	L	T	Buy	02/06/13	K		
59.					Buy (add'l)	05/20/13	K		
60. Federated FD - TR MMMKT	A	Interest	N	T					
61. Deposit Accounts									
62. SunTrust Interest Checking #1	A	Interest	K	T					
63. SunTrust Checking #2		None	J	T					
64. SunTrust Checking #3		None	J	T					
65. Trust #3									
66. Ridgeworth Fd - Intl Equity		None			Sold	02/06/13	L	A	
67. Ridgeworth Fd - Large Cap Growth Stock	E	Dividend	M	T	Sold (part)	06/13/13	K	A	
68. Ridgeworth Fd - Large Cap Value Equity	E	Dividend	M	T	Sold (part)	06/13/13	K	D	

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	(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)
69. Ridgeworth Fd - Mid Cap Value Equity	D	Dividend	L	T	Sold (part)	06/13/13	J	A	
70. Vanguard Developed Mkts Index FD	B	Dividend	L	T	Buy	02/07/13	K		
71. Vanguard FTSE Emerging Mkts ETF	A	Dividend	K	T	Buy	02/11/13	K		
72. Ridgeworth Fd - Va Inter Mun Bond	D	Interest	N	T	Buy (add'l)	06/14/13	K		
73. Federated FD - TR MMMKT	A	Interest	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I: Positions

I receive no compensation for my service. The start date for each non-profit position was June, 2013.

Part II: Agreements

RE: I will rec, contd.... in any benefit plan provided by the University, although past pension benefits ae vested. My mortgage was provided at a favorable rate available to faculty members and had to be refinanced within 6 months of leaving the University. The mortgage was paid in full on 02/09/1985.

Part VII: Investments and Trusts

Trust #1

My Revocable Trust

Line 19. Investment was sold on 01/23/12 and was inadvertently listed as still being owned on 12/31/2012.

Line 24. Investment name was changed from Vanguard Fd-Intl Eqty IDX MSCI Emer Mkt to Vanguard FTSE Emerging Mkts ETF on 1/10/2013.

IRA

My current IRA

Trust #2

Revoable Trust

Trust #3

Irrevocable GST Trust for me (from trust)

This trust was created from Trust Revocable Trust became Irrevocable Interim Trust - which was split into two shares, after IRS approval was received, for and me. My share later became this trust.

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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/ **James H. Wilkinson III**

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