

AMENDED - FEBRUARY 11, 2013

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011**

AO 10
Rev. 1/2012

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 05/15/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 6

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2012

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1.	Vanderbilt University Law School	Jan. 18, 2011 - Jan. 18, 2011	Nashville, TN	Keynote Speaker	Travel, Meal
2.	New York University School of Law	Feb. 27, 2011 - March 1, 2011	New York, NY	Moot Court/Speaking w/ students	Travel, Lodging, Meals
3.	ABA Standing Cmte. - Public Edu.	April 1, 2011 - April 2, 2011	Chicago, IL	ABA Committee Meeting	Travel, Lodging, Meals
4.	ABA Standing Cmte. - Public Edu.	Nov. 17, 2011 - Nov. 19, 2011	Chicago, IL	ABA Committee Meeting	Travel, Lodging, Meals
5.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2012

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2012

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		None	L	T					
3. Philip Morris Profit Sharing Plan (401K)	B	Dividend	N	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		None	L	T					
9. New York Life Ins. Co. - term & whole life policy		None	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	J	T					
13. Metropolitan Life Control Account	D	Interest	M	T					
14. SunTrust Money Market Account	B	Interest	M	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

FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2012

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 2011. Donations on my behalf have been made to charitable organizations. However, I did not receive income and/or derive financial benefit from these charitable organizations. No contribution exceeded \$2,000. 5 U.S.C. app § 501(b) & (c).

The contributions were made as follows:

Jan. 19, 2011 - Vanderbilt University Law School - \$1,000.00 - Keynote Speaker

Oct. 2, 2011 - Third Baptist Church - 300.00 - Keynote Speaker

A confidential list of recipients has been reported under separate cover.

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/15/2012

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

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