

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) WilkinsonIII, James H.	2. Court or Organization Fourth US Circuit Court of Appeals	3. Date of Report 5/10/2019
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 01/01/2018 to 12/31/2018
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	Virginia Historical Society
2.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Oxford University Press, book royalties	\$396.00
2. 2018	Encounter Books, book royalties	\$620.00
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.				
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	B	Dividend	L	T					
3. AT&T Common Stock	D	Dividend	L	T	Sold (part)	11/28/18	K	D	
4. Deere & Co Common Stock	D	Dividend	N	T					
5. DowDuPont Inc. Common Stock	C	Dividend	M	T					
6. Duke Energy Corp Common Stock	D	Dividend	M	T					
7. Enbridge Inc. Common Stock	C	Dividend	L	T					
8. General Electric Corp Common Stock	A	Dividend	K	T					
9. Johnson & Johnson Common Stock	B	Dividend	L	T					
10. Kraft Heinz Co Common Stock	A	Dividend	J	T					
11. Lilly Eli & Co Common Stock	C	Dividend	M	T					
12. Merck & Co Common Stock	C	Dividend	M	T					
13. Mondelez International Inc Common Stock	A	Dividend	J	T					
14. Pfizer Inc Common Stock	C	Dividend	L	T					
15. Proctor & Gamble Co Common Stock	D	Dividend	N	T					
16. Royal Dutch Petroleum Shell Co Common Stock	D	Dividend	M	T					
17. SunTrust Banks Inc Common Stock	B	Dividend	K	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 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. Vanguard 500 Index Fd	D	Dividend	O	T	Buy (add'l)	11/28/18	J		
19. Vanguard Emerging Markets Stock Index Fund	A	Dividend	J	T	Buy	11/28/18	J		
20. Vanguard FTSE Emerging Mkts ETF	B	Dividend	K	T					
21. Vanguard Limited-Term Tax-Exempt Fund	E	Dividend	P1	T	Buy (add'l)	04/18/18	K		
22. Vanguard Mid-Cap Value Index Fund Admiral	C	Dividend	M	T					
23. Vanguard Small-Cap Value Index Fund	C	Dividend	M	T					
24. Vanguard Developed Mkts Index Fd	D	Dividend	N	T					
25. Federated Fd - TR MMMKT	C	Interest	M	T					
26.									
27. IRA #1									
28. Vanguard 500 Index Fd	B	Dividend	L	T					
29. Vanguard Dev Mkts Index Fd	A	Dividend	K	T					
30. Vanguard FTSE Emerging Mkts ETF	A	Dividend	J	T					
31. Vanguard Growth Index Fd	A	Dividend	K	T					
32. Vanguard Mid-Cap Value Index Fund Admiral	A	Dividend	J	T					
33. Vanguard Small-Cap Index Fund	A	Dividend	J	T					
34. PWM Fid Master Dept Acct - SunTrust Money Mkt	B	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
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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35.									
36. Trust #2									
37. Albemarle Corp Common Stock	A	Dividend	K	T					
38. AT&T Inc Common Stock	B	Dividend	K	T					
39. DowDuPont Inc. Common Stock	A	Dividend	K	T					
40. Duke Energy Corp Common Stock	A	Dividend	K	T					
41. Enbridge Inc. Common Stock	A	Dividend	J	T					
42. Johnson & Johnson Common Stock	C	Dividend	M	T					
43. Lincoln Natl Corp Common Stock	C	Dividend	M	T					
44. Merck & Co Inc Common Stock	B	Dividend	L	T					
45. Pfizer Inc Common Stock	B	Dividend	K	T					
46. Royal Dutch Shell Sponsored Common Stock	B	Dividend	K	T					
47. Vanguard 500 Index Fund	C	Dividend	M	T					
48. Vanguard Dev Mkts Index Fd	C	Dividend	M	T					
49. Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T	Buy	04/18/18	K		
50. Vanguard Growth Index Fd	A	Dividend	L	T					
51. Vanguard Intermediate Term Tax-Exempt Fund	D	Dividend	N	T	Buy (add'l)	04/18/18	L		

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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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52. Vanguard Mid-Cap Growth Index Fund	A	Dividend	K	T	Buy	04/18/18	K		
53. Vanguard Mid-Cap Value Index Fund Admiral	A	Dividend	K	T	Sold (part)	04/18/18	K	A	
54. Vanguard - Small Cap Index	A	Dividend	K	T					
55. Federated Fd - TR MMMKT	A	Interest	K	T					
56.									
57. Deposit Accounts									
58. SunTrust Interest Checking #1	A	Interest	K	T					
59. SunTrust Checking #2		None	K	T					
60. SunTrust Checking #3		None	J	T					
61.									
62. Trust #3									
63. Federated Strategic Value Fd	A	Dividend			Sold	04/18/18	L		
64. Vanguard 500 Index Fd	B	Dividend	L	T	Buy (add'l)	04/18/18	K		
65. Vanguard Dev Mkts Index Fd	C	Dividend	L	T	Buy (add'l)	04/18/18	K		
66.					Buy (add'l)	09/20/18	K		
67. Vanguard Emerging Markets Stock Index Fund	B	Dividend	L	T	Buy	04/18/18	K		
68.					Buy (add'l)	09/20/18	J		

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69. Vanguard Growth Index Fd	B	Dividend	M	T					
70. Vanguard Limited-Term Tax-Exempt Fd	D	Dividend	N	T					
71. Vanguard Mid-Cap Value Index Fund Admiral	B	Dividend	L	T					
72. Vanguard Russell 1000 Value Index Fund	B	Dividend	L	T	Buy	04/18/18	K		
73.					Buy (add'l)	09/20/18	K		
74. Virtus Ceredex Large-Cap Value Equity R6	C	Dividend			Sold (part)	04/18/18	K	D	
75.					Sold	09/20/18	L	E	
76. PWM Fid Master Dept Acct - SunTrust Money Mkt	A	Interest	K	T					
77.									
78. Davenport Brokerage									
79. Davenport Core Mutual Fund (X)	C	Dividend	N	T					
80. Davenport Equity Opptys Mutual Fund (X)	D	Distribution	M	T					
81. U S Treasury Oligs Cii (X)	A	Interest	M	T					
82.									
83.									
84.									
85.									

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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 are 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

IRA

My current IRA

Trust #2

■■■■ Revocable Trust

Trust #3

Irrevocable GST Trust for me (from ■■■■ trust).

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

Davenport Brokerage

■■■■ account

These two mutual funds and the U.S. Treasury Oligs were inherited by ■■■■ from ■■■■ in 2018.

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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. WilkinsonIII**

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