

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/09/2016
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 01/01/2015 to 12/31/2015
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	Oxford University Press, book royalties	\$360.00
2. 2015	Encounter Books, book royalties	\$3,500.00
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. William & Mary Supreme Court Preview	9/25/15 - 9/26/15	Williamsburg, VA	Symposium participant	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.)*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. Trust # 1									
2. Albemarle Corp Common Stock	B	Dividend	L	T					
3. AT&T Common Stock	D	Dividend	M	T					
4. Deere & Co Common Stock	D	Dividend	M	T					
5. Du Pont 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	D	Dividend	M	T					
8. Johnson & Johnson Common Stock	B	Dividend	L	T					
9. Kraft Common Stock	E	Dividend			Merged (with line 10)	07/07/15	J		
10. Kraft Heinz Co Common Stock (X)	A	Dividend	J	T					
11. Lilly Ely & Co Common Stock	B	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	B	Dividend	L	T					
15. Proctor & Gamble Co Common Stock	D	Dividend	N	T					
16. Providence & Worcester RR Co Common Stock	A	Dividend	K	T					
17. Royal Dutch Petroleum Shell Co Common Stock	D	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 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. Spectra Energy Corp Common Stock	C	Dividend	K	T					
19. SunTrust Banks Inc Common Stock	A	Dividend	K	T					
20. The Chemours Co Common Stock (X)		None			Spinoff (from line 5)	07/01/15	J		
21.					Sold	07/31/15	J	C	
22. Ridgeworth Fd - Sm Cap Val Equity	E	Dividend	L	T					
23. Ridgeworth Fd - MidCap Value Eqty	D	Dividend	M	T					
24. Ridgeworth SEIX Fd - Va Inter Mun Bond (SEIX added to name)	E	Interest	P1	T					
25. Ridgeworth Fd - Intl Equity	B	Dividend	N	T					
26. Ridgeworth SEIX Fd - US Govt Sec Ultra Short (SEIX added to name)	A	Interest	L	T					
27. Vanguard FTSE Emerging Mkts ETF	B	Dividend	K	T					
28. Vanguard 500 Index Fd	C	Dividend	M	T					
29. Federated Strategic Value Fd	D	Dividend	M	T					
30. Vanguard Developed Mkts Index Fd (X)	A	Dividend	L	T	Buy	07/29/15	L		
31. Federated Fd - TR MMMKT	A	Interest	M	T					
32.									
33. IRA #1									
34. Ridgeworth Fd - Mid Cap Value Equity	A	Dividend	J	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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. Ridgeworth Fd - Large Cap Growth		None			Sold	03/13/15	K	D	
36. Ridgeworth Fd - Large Cap Value Equity	C	Dividend	K	T					
37. Ridgeworth Fd - Small Cap Value Equity	C	Dividend	J	T					
38. Vanguard Dev Mkts Index Fd	A	Dividend	K	T	Buy (add'l)	03/13/15	J		
39. Vanguard FTSE Emerging Mkts ETF	A	Dividend	J	T	Sold (part)	03/16/15	J		
40. Vanguard Growth Index Fd (X)	A	Dividend	K	T	Buy	03/13/15	K		
41. PWM Fid Master Dept Acct - SunTrust Money Mkt (See Note)	A	Interest	J	T					
42.									
43. Trust #2									
44. Albemarle Corp Common Stock	A	Dividend	K	T					
45. AT&T Inc Common Stock	B	Dividend	K	T					
46. Du Pont E I De Nemours & Co Common Stock	A	Dividend	K	T					
47. Duke Energy Corp Common Stock	A	Dividend	J	T					
48. Johnson & Johnson Common Stock	C	Dividend	M	T					
49. Lincoln Natl Corp Common Stock	B	Dividend	M	T	Sold (part)	03/16/15	K	E	
50.					Sold (part)	07/31/15	K	E	
51. Merck & Co Inc Common Stock	B	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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52. Pfizer Inc Common Stock	A	Dividend	K	T					
53. Royal Dutch Shell Sponsored Common Stock	B	Dividend	K	T					
54. Spectra Energy Corp Common Stock	A	Dividend	J	T					
55. Ridgeworth Fd - Agressive Growth		None			Sold	03/13/15	L	E	
56. Ridgeworth SEIX Fd - Va Inter Mun Bond (SEIX added to name)	D	Interest	N	T					
57. Ridgeworth Fd - Mid Cap Value Equity	C	Dividend	K	T					
58. Ridgeworth Fd - Small Cap Value Equity	D	Dividend	K	T					
59. Federated Strategic Value Fd	C	Dividend	L	T					
60. Vanguard 500 Index Fd	B	Dividend	M	T	Buy (add'l)	07/29/15	K		
61. Vanguard Dev Mkts Index Fd	C	Dividend	M	T	Buy (add'l)	03/13/15	L		
62. Vanguard FTSE Emerging Mkts ETF	A	Dividend	K	T					
63. The Chemours Co Common Stock (X)		None			Spinoff (from line 46)	07/01/15	J		
64.					Sold	07/31/15	J	A	
65. Vanguard Growth Index Fd (X)	A	Dividend	L	T	Buy	03/13/15	L		
66. Federated Fd - TR MMMKT	A	Interest	L	T					
67.									
68. Deposit Accounts									

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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69. SunTrust Interest Checking #1	A	Interest	K	T					
70. SunTrust Checking #2		None	K	T					
71. SunTrust Checking #3		None	J	T					
72.									
73. Trust #3									
74. Ridgeworth Fd - Large Cap Growth Stock		None			Sold	03/13/15	M	C	
75. Ridgeworth Fd - Large Cap Value Equity	E	Dividend	M	T	Sold (part)	03/13/15	J	A	
76.					Sold (part)	12/14/15	J	A	
77. Ridgeworth Fd - Mid Cap Value Equity	C	Dividend	L	T					
78. Ridgeworth SEIX Fd - Va Inter Mun Bond (SEIX added to name)	D	Interest	N	T	Buy (add'l)	03/13/15	J		
79. Vanguard Dev Mkts Index Fd	B	Dividend	L	T	Buy (add'l)	03/13/15	J		
80. Vanguard FTSE Emerging Mkts ETF	A	Dividend			Sold	12/16/15	J		
81. Vanguard Growth Index Fd (X)	B	Dividend	M	T	Buy	03/13/15	M		
82. Vanguard Limited-Term Tax-Exempt Fd (X)	A	Interest	J	T	Buy	03/13/15	J		
83.					Sold (part)	04/14/15	J	A	
84. PWM Fid Master Dept Acct - SunTrust Money Mkt (See Note)	A	Interest	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 = \$250,000,001 - \$500,000,000	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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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

Line 41: In 2014, SunTrust changed the money market vehicle within this account from the Federated Treasury Money Market to the SunTrust PWM Fiduciary Master Deposit Account. Both are money markets with a price of \$1/share. There was no gain or loss associated with this switch.

Trust #2

My wife's Revocable Trust

Trust #3

Irrevocable GST Trust for me (from my mother's trust).

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

Line 84: In 2014, SunTrust changed the money market vehicle within this account from the Federated Fd Treasury Money Market to the SunTrust PWM Fiduciary Master Deposit Account. Both are money markets with a price of \$1/share. There was no gain or loss associated with this switch.

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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