

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/11/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	University of Richmond
2. Administrator	Estate #1 (See Part VIII. Explanation)
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
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. 2019	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. 2019	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	02/14/2019 to 02/17/2019	Phoenix, AZ	2019 O'Connor Justice Prize Dinner	Travel, Lodging & Meals
2.	William & Mary Law School	05/11/2019 to 05/12/2019	Williamsburg, VA	Law School Commencement Speaker	Lodging & Meals
3.	International Associations of Defense Counsel (IADC)	07/25/2019 to 07/28/2019	Stanford, CA	Keynote Speaker	Travel & Lodging
4.	American Evolution 2019 Forum	07/29/2019 to 07/31/2019	Williamsburg, VA	Panelist	Lodging
5.	University of Kentucky College of Law	11/19/2019 to 11/20/2019	Lexington, KY	Keynote Speaker	Travel & Lodging

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
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.		
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. Suntrust Bank Interest Checking	A	Interest	J	T					
2. Wells Fargo Interest Checking	A	Interest	K	T					
3. BB&T Bank Checking		None	J	T					
4. Prudential Insurance Variable Annuity "(H)"									See Part VIII. Explanation
5. Prudential Jennison		None	J	T					
6. Prudential Flexible Managed		None	L	T					
7. Prudential High Yield Bond		None	K	T					
8. ManuLife Financial - Common Stock	B	Dividend	K	T					
9. New York Life IRA - Fixed Annuity	A	Interest	K	T					
10. RiverSource Life Insurance Company IRA Fixed	B	Interest	K	T					
11. Consolidated Bank & Trust/Premier Bank	A	Interest	K	T					
12. John Hancock Life Ins. - term & whole life policy	B	Dividend	L	T					
13. New York Life Ins. Co. - term & whole life policy	B	Interest	J	T					
14. Call Federal Credit Union		None	J	T					
15. SunTrust Money Market Account	A	Interest	K	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	

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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. 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	M	T	Sold (part)	04/03/19	J	A	Stock Market
21.					Buy (add'l)	05/30/19	J		Stock Market
22.					Sold (part)	06/27/19	J	A	Stock Market
23.					Buy (add'l)	09/26/19	J		Stock Market
24. Strategic Advisers Growth Fund	C	Dividend	K	T	Sold (part)	03/08/19	J	A	Stock Market
25.					Sold (part)	04/03/19	J	A	Stock Market
26.					Sold (part)	05/30/19	J	A	Stock Market
27.					Sold (part)	09/26/19	J	A	Stock Market
28.					Sold (part)	12/06/19	J	A	Stock Market
29. Strategic Advisers Value Fund	C	Dividend	K	T	Sold (part)	01/30/19	J		Stock Market
30.					Sold (part)	03/08/19	J		Stock Market
31.					Sold (part)	05/30/19	J		Stock Market
32.					Sold (part)	09/26/19	J		Stock Market
33.					Sold (part)	12/06/19	J	A	Stock Market
34. Strategic Advisers Emerging Markets	A	Dividend	K	T	Buy (add'l)	05/30/19	J		Stock Market

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	
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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. Strategic Advisers Small-Mid Cap Fund	B	Dividend	K	T	Buy (add'l)	01/30/19	J		Stock Market
36.					Sold (part)	04/03/19	J	A	Stock Market
37. Strategic Advisers International Fund	B	Dividend	L	T	Sold (part)	03/08/19	J		Stock Market
38.					Buy (add'l)	08/14/19	J		Stock Market
39. Fidelity SAI U.S. Large Cap Index	A	Dividend	J	T	Sold (part)	03/08/19	J	A	Stock Market
40.					Buy (add'l)	06/27/19	J		Stock Market
41. Fidelity SAI International Index	A	Dividend	J	T	Sold (part)	01/30/19	J	A	Stock Market
42.					Sold (part)	06/27/19	J	A	Stock Market
43. Fidelity SAI Emerging Markets Index	A	Dividend	J	T	Sold (part)	08/14/19	J	A	Stock Market
44. AQR Multi Strgy Alternative Class N		None			Sold	04/03/19	J		Stock Market
45. AQR Managed Futures Fund CL N	A	Dividend	J	T					
46. Fidelity Total Bond "(H)"									See Part VIII. Explanation
47. Strategic Advisers Short Duration Fund	A	Dividend	J	T	Sold (part)	03/08/19	J	A	Stock Market
48.					Buy (add'l)	04/03/19	J		Stock Market
49. Strategic Advisers Income Opportunities	A	Dividend	J	T	Sold (part)	04/03/19	J		Stock Market
50.					Sold (part)	09/26/19	J		Stock Market
51. Strategic Advisers Core Income Fund	D	Dividend	M	T	Buy (add'l)	01/30/19	J		Stock Market

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2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	03/08/19	J		Stock Market
53.					Buy (add'l)	04/03/19	J		Stock Market
54.					Sold (part)	05/30/19	J	A	Stock Market
55.					Buy (add'l)	06/27/19	J		Stock Market
56.					Buy (add'l)	09/26/19	J		Stock Market
57.					Buy (add'l)	12/16/19	J		Stock Market
58. Eaton Vance GL Macro Absolute RTRN ADV 1		None			Sold	04/03/19	J	A	Stock Market
59. Eaton Vance GL Macro Absolute RTRN ADV A	A	Dividend	J	T	Buy	04/03/19	J		Stock Market
60.					Buy (add'l)	04/04/19	J		Stock Market
61. PIMCO Commodity Real Return Inst	A	Dividend	J	T	Sold (part)	09/26/19	J		Stock Market
62.					Sold (part)	12/06/19	J		Stock Market
63. Fidelity Short-Term Funds									See Part VIII. Explanation
64. FIMM Government Portfolio Instl CL	A	Dividend	J	T	Sold (part)	02/11/19	J		Stock Market
65.					Buy (add'l)	03/08/19	J		Stock Market
66.					Sold (part)	05/13/19	J		Stock Market
67.					Buy (add'l)	05/30/19	J		Stock Market
68.					Sold (part)	08/26/19	J		Stock Market

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Buy (add'l)	09/26/19	J		Stock Market
70.					Sold (part)	11/18/19	J		Stock Market
71.					Buy (add'l)	12/06/19	J		Stock Market
72. Fidelity Government Cash Reserves	A	Dividend			Buy	04/03/19	J		Stock Market
73.					Sold	04/04/19	J		Stock Market
74.					Buy	04/30/19	J		Stock Market
75.					Sold	05/10/19	J		Stock Market
76. Fidelity Deferred Annuity Account		None	M	T					
77. Fidelity Rollover IRA "Cash Account"	A	Interest	J	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

I. POSITIONS

Line 2: Reference to Estate #1. On May 29, 2018, I was appointed Administrator of [REDACTED] (deceased) small estate. According to "Filing Instructions for Judicial Officers and Employees," page 31, "Trusts," I am not required to list in Part VII, the assets involved in the estate because I, [REDACTED], and [REDACTED] do not (1) receive income from the estate, or (2) have a beneficial interest in principle or income from the estate. Moreover, I have not and will not receive any compensation for serving as Administrator of the estate.

VII. INVESTMENTS AND TRUSTS

Line 4: Prudential Insurance Variable Annuity. No information is reported on Line 4 because I report all income and values for the sub-Funds of the Prudential Insurance Variable Annuity on Lines 5 through 7.

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, and bonds managed by Fidelity Management Trust Company on Lines 19 through 45.

Line 46: Fidelity Total Bond "(H)". No information is reported on Line 46 because I report all transactions, income, and values related to the Bond accounts under Fidelity Total Bond "(H)" on Lines 47 through 62.

Line 63: Fidelity Short-Term Funds. No information is reported on Line 63 because I report all transactions, income, and values related to the Fidelity Short-Term Funds on Lines 64 through 75.

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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/ **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