

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) Rushing, Allison J.	2. Court or Organization U.S. Court of Appeals for the Fourth Circuit	3. Date of Report 09/24/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Court of Appeals Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 100 Otis Street Suite 110 Asheville, NC 28801		
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. _____	_____
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. 2017	Williams & Connolly LLP partnership share - Final pro rata share was calculated as of the day I withdrew from the partnership in March.
2. 2017	Williams & Connolly LLP capital account - I received the balance in my capital account shortly after I withdrew from the partnership.
3. 2017	Williams & Connolly LLP defined benefit plan - Williams & Connolly LLP ceased making contributions to the plan after my separation from the firm in March.
4. 2009	Williams & Connolly LLP defined contribution plan - Williams & Connolly LLP ceased making contributions to the plan after my separation from the firm in March.

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Rushing, Allison J.

Date of Report

09/24/2020

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. 03/2019	Williams & Connolly LLP, partnership income	\$78,745.00
2. 03/2019	Williams & Connolly LLP, capital account withdrawal	\$36,500.00
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. 2019	[REDACTED], 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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Rushing, Allison J.	09/24/2020

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Rushing, Allison J.

Date of Report

09/24/2020

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. Navy Federal Credit Union cash accounts	B	Interest	M	T					
2. Investment Account (H)									
3. -Industrial Select Security SPDR		None			Sold	01/31/19	J		
4. -Financial Select Security SPDR		None			Sold	01/31/19	J		
5. -iShares iBoxx Investment Corporate Bond	A	Dividend	J	T					
6. -Morgan Stanley Bank NA	A	Interest	J	T					
7. -Everbank CD Jacksonville FL 01/11/2019	A	Interest			Redeemed	01/11/19	J		
8. -Bank Baroda New York NY 09/14/2020		None	K	T					
9. -Utilities Select Security SPDR	A	Dividend			Sold	06/05/19	K	C	
10. -iShares MSCI Emerging Market ETF	B	Dividend	L	T					
11. -Vanguard REIT Index Admiral	A	Dividend	J	T					
12. -John Hancock FDS STR Inc Opp 1	A	Dividend			Sold	06/05/19	K		
13. -Vanguard Mid-Cap ETF Index	A	Dividend	L	T					
14. -Vanguard FTSE Europe ETF	A	Dividend	K	T					
15. -iShares Inc MSCI Japan ETF	A	Dividend	K	T					
16. -iShares Core U.S. Aggregate	A	Dividend	K	T					
17. -Health Care Select Security SPDR	A	Dividend			Sold (part)	01/31/19	J	A	

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	

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)	(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)
18.					Sold	06/05/19	K	D	
19. -iShares Global 100 ETF	B	Dividend	L	T					
20. -Energy Select Security SPDR	A	Dividend			Sold (part)	01/30/19	J		
21.					Sold (part)	01/31/19	J		
22.					Sold	06/05/19	K		
23. -Morgan Stanley Buffered Plus on Sx5E		None	L	T					
24. -iShares MSCI EAFE ETF	C	Dividend	M	T					
25. -Pioneer Mlt Asset Ultra-short Inc Y	B	Dividend	K	T					
26. -Vanguard 500 Index Admiral	B	Dividend	M	T					
27. -SPDR S&P 500 ETF	C	Dividend	M	T					
28. -Pioneer Mlt Ast Ultra-short Inc C	A	Dividend			Sold	04/18/19	K		
29. -Bank India New York City, NY CD 08/28/2019		None			Sold	04/18/19	M		
30. -Beal Bk SSB Plano, TX CD 02/27/2019	A	Interest			Redeemed	02/27/19	J		
31. -Comenity Cap Bk Salt Lake City, Utah CD	A	Interest			Sold	04/18/19	J		
32. -Discover Bk Greenwood, DE CD 03/01/2019	A	Interest			Redeemed	03/01/19	K		
33. -Investors Svgs Bk Short Hills, NJ CD 05/14/2019		None			Sold	04/18/19	K		
34. -Israel Disc Bk New York, NY CD 06/28/2019		None			Sold	04/18/19	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Rushing, Allison J.

Date of Report

09/24/2020

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)
35. -Simmons Bk Pine Bluff, AR CD 03/21/2019	A	Interest			Redeemed	03/21/19	J		
36. -Bank Leumi New York, NY CD 07/22/2019		None			Sold	04/18/19	J		
37. -Ishares S&P 500 Val ETF	B	Dividend	L	T					
38. -JP Morgan Ultra-Short Inc ETF	A	Dividend	J	T					
39. -Oakmark Equity & Income Adv	B	Dividend	K	T					
40. -Neuberger Berman EQ Inc Ins	A	Dividend	K	T					
41. -PGIM Total Return Bond Z	C	Dividend	L	T					
42. -Thornburg Inv Inc Builder I	A	Dividend	K	T					
43. -21st Century Bank Loretta MN CD 5/15/19		None			Sold	04/18/19	K		
44. -Cadence Bank Birmingham AL CD 07/01/19	A	Interest			Redeemed	07/01/19	L		
45. -State Bank Ind New York NY CD 06/11/20		None	K	T					
46. -Suntrust Bank Atlanta GA CD 09/12/19	A	Interest			Redeemed	09/12/19	K		
47. -Valley National Bank CD Passaic NJ 03/05/20		None	K	T					
48. [REDACTED] Fidelity AF Target Date 2055 R6 Fund	C	Dividend	M	T					
49. Ernst & Young Fidelity 401(k) (H)									
50. -Dodge & Cox Stock	A	Dividend	J	T					
51. -TRP New Horizons I	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	

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)	(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. -Vang Cap Opps ADM	A	Dividend	J	T					
53. -Vanguard Target 2015	A	Dividend	J	T					
54. -Vang Sm Val IDX Inst	A	Dividend	J	T					
55. -Fid 500 Index IPR	A	Dividend	J	T					
56. -AF New Perspect R6	A	Dividend	J	T					
57. -Vanguard Target 2050	A	Dividend	J	T					
58. -AF Europac Growth R6	A	Dividend	J	T					
59. -Fid Divsfd Intl Pool	A	Dividend	J	T					
60. Fidelity Blue Chip Growth	A	Dividend	J	T					
61. Fidelity NASDAQ Composite Index	A	Dividend	J	T					
62. Fidelity OTC Portfolio Fund	A	Dividend	J	T					
63. Vanguard Target Retirement Trust 2050 II		None			Closed				
64. Fidelity Govt Cash Reserves	A	Dividend			Closed	10/2019	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Rushing, Allison J.

Date of Report

09/24/2020

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

Part VII

---Line 63: The funds in the Vanguard Target Retirement Trust 2050 II listed at line 63 were rolled into my Thrift Savings Plan when I moved from private employment to government employment in 2019. The Thrift Savings Plan is not subject to reporting, so I simply have noted that the Vanguard account has been closed.

---Line 64: The positions listed within the Fidelity IRA in my prior report (as a nominee) were sold in 2018 and all resulting funds were held in a Fidelity Cash Reserves account (see line 64) until that account was closed entirely around October 2019. I do not know the specific date the account was closed.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Rushing, Allison J.

Date of Report

09/24/2020

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/ Allison J. Rushing**

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