

**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) Wilkinson III, James H.	2. Court or Organization Fourth US Circuit Court of Appeals	3. Date of Report 5/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 255 W. Main Street Room 230 Charlottesville, VA 22902		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

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.)*

DATE

PARTIES AND TERMS

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.	

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Wilkinson III, James H., 5/12/2020

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.)

Table with 3 columns: DATE, SOURCE AND TYPE, INCOME (yours, not spouse's). Row 1: 1. 2019, Oxford University Press, book royalties, \$495.00

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.)

[x] NONE (No reportable non-investment income.)

Table with 2 columns: DATE, SOURCE AND TYPE. Rows 1-4 are empty.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[x] NONE (No reportable reimbursements.)

Table with 5 columns: SOURCE, DATES, LOCATION, PURPOSE, ITEMS PAID OR PROVIDED. Rows 1-5 are empty.

Name of Person Reporting	Date of Report
Wilkinson III, James H.	5/12/2020

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 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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)	(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)
1. Trust # 1 (H)									
2. - Albemarle Corp Common Stock	B	Dividend	L	T					
3. - AT&T Common Stock	D	Dividend	M	T					
4. - Corteva Inc.	A	Dividend	K	T	Spinoff (from line 7)	05/31/19	J		
5. - Deere & Co Common Stock	D	Dividend	O	T	Sold (part)	04/24/19	K	E	
6. - Dow Inc.	C	Dividend	L	T	Spinoff (from line 7)	04/01/19	L		
7. - DuPont De Nemours Inc. Common Stock (formerly DowDuPont Inc.)	B	Dividend	L	T					
8. - Duke Energy Corp Common Stock	D	Dividend	M	T					
9. - Enbridge Inc. Common Stock	C	Dividend	L	T					
10. - General Electric Corp Common Stock	A	Dividend			Sold	08/19/19	L	E	
11. - Johnson & Johnson Common Stock	B	Dividend	L	T					
12. - Kraft Heinz Co Common Stock	A	Dividend	J	T	Sold (part)	08/19/19	J	B	
13. - Lilly Eli & Co Common Stock	C	Dividend	M	T					
14. - Merck & Co Common Stock	C	Dividend	M	T					
15. - Mondelez International Inc Common Stock	A	Dividend	J	T					
16. - Pfizer Inc Common Stock	C	Dividend	L	T					
17. - Proctor & Gamble Co Common Stock	D	Dividend	N	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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)	(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. - Royal Dutch Petroleum Shell Co Common Stock	D	Dividend	M	T					
19. - Truist Financial Corp Common Stock (formerly SunTrust Banks Inc.)	B	Dividend	L	T					
20. - Vanguard 500 Index Fd	D	Dividend	O	T					
21. - Vanguard Emerging Markets Stock Index Fund	A	Dividend	J	T					
22. - Vanguard FTSE Emerging Mkts ETF	B	Dividend	L	T					
23. - Vanguard Limited-Term Tax-Exempt Fund	E	Dividend	P1	T					
24. - Vanguard Mid-Cap Value Index Fund Admiral	C	Dividend	M	T					
25. - Vanguard Small-Cap Value Index Fund	C	Dividend	M	T					
26. - Vanguard Developed Mkts Index Fd	D	Dividend	N	T					
27. - Wabtec Corp. Common Stock		None			Spinoff (from line 10)	02/25/19	J		
28.					Sold	03/15/19	J		
29. - Federated Fd - TR MMMKT	C	Interest	M	T					
30.									
31. IRA #1 (H)									
32. - Vanguard 500 Index Fd	B	Dividend	L	T					
33. - Vanguard Dev Mkts Index Fd	A	Dividend	K	T	Sold (part)	03/14/19	J	A	
34.					Sold (part)	03/21/19	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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)	(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)
35. - Vanguard FTSE Emerging Mkts ETF	A	Dividend	J	T					
36. - Vanguard Growth Index Fd	A	Dividend	L	T					
37. - Vanguard Mid-Cap Value Index Fund Admiral	A	Dividend	J	T					
38. - Vanguard Small-Cap Index Fund	A	Dividend	J	T					
39. - PWM Fid Master Dept Acct - SunTrust Money Mkt	A	Interest	J	T					
40.									
41. Trust #2 (H)									
42. - Albemarle Corp Common Stock	A	Dividend	K	T					
43. - AT&T Inc Common Stock	B	Dividend	K	T					
44. - Corteva Inc.	A	Dividend	J	T	Spinoff (from line 46)	05/31/19	J		
45. - Dow Inc. Common Stock	A	Dividend	J	T	Spinoff (from line 46)	04/01/19	J		
46. - DuPont De Nemours Inc. Common Stock (formerly DowDuPont Inc.)	A	Dividend	J	T					
47. - Duke Energy Corp Common Stock	A	Dividend	K	T					
48. - Enbridge Inc. Common Stock	A	Dividend	J	T					
49. - Johnson & Johnson Common Stock	C	Dividend	M	T					
50. - Lincoln Natl Corp Common Stock	C	Dividend	M	T					
51. - Merck & Co Inc Common Stock	B	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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)
52. - Pfizer Inc Common Stock	B	Dividend	K	T					
53. - Royal Dutch Shell Sponsored Common Stock	B	Dividend	K	T					
54. - Vanguard 500 Index Fund	D	Dividend	N	T					
55. - Vanguard Dev Mkts Index Fd	C	Dividend	M	T					
56. - Vanguard Emerging Markets Stock Index Fund	A	Dividend	K	T					
57. - Vanguard Growth Index Fd	A	Dividend	L	T					
58. - Vanguard Intermediate Term Tax-Exempt Fund	D	Dividend	N	T					
59. - Vanguard Mid-Cap Growth Index Fund	A	Dividend	K	T					
60. - Vanguard Mid-Cap Value Index Fund Admiral	A	Dividend	K	T					
61. - Vanguard - Small Cap Index Fund	A	Dividend	K	T					
62. - Federated Fd - TR MMMKT	A	Interest	K	T					
63.									
64. Deposit Accounts (H)									
65. - SunTrust Interest Checking #1	A	Interest	K	T					
66. - SunTrust Checking #2		None	K	T					
67. - SunTrust Checking #3		None	J	T					
68.									

1 Income Gain Codes: (See Columns B1 and D4)	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	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 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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)	(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. Trust #3 (H)									
70. - Vanguard 500 Index Fd	B	Dividend	L	T					
71. - Vanguard Dev Mkts Index Fd	C	Dividend	L	T					
72. - Vanguard Emerging Markets Stock Index Fund	B	Dividend	L	T					
73. - Vanguard Growth Index Fd	B	Dividend	M	T	Sold (part)	09/25/19	K	D	
74. - Vanguard Limited-Term Tax-Exempt Fd	D	Dividend	N	T	Buy (add'l)	09/25/19	K		
75. - Vanguard Mid-Cap Value Index Fund Admiral	B	Dividend	L	T					
76. - Vanguard Russell 1000 Value Index Fund	B	Dividend	L	T					
77. - PWM Fid Master Dept Acct - SunTrust Money Mkt	A	Interest	J	T					
78.									
79. Davenport Brokerage (H)									
80. - Davenport Core Mutual Fund (X)	C	Dividend	N	T					
81. - Davenport Equity Opptys Mutual Fund (X)	D	Distribution	M	T					
82. - U S Treasury Oligs Cii (X)	A	Interest	M	T					
83.									
84.									
85.									

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)
86.									

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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

Spinoff of Wabtec Corp by General Electric, effective 02/25/2019

DowDupont split into three companies; Dow Inc. (04/01/2019), Corteva Inc. (05/31/2019), Dupont De Nemours Inc. (06/03/2019)

SunTrust Banks Inc Common Stock completed its merger with BB&T to form Truist Financial Corp, effective 12/09/2019

IRA

My current IRA

Trust #2

My [REDACTED] Revocable Trust

DowDupont split into three companies; Dow Inc. (04/01/2019), Corteva Inc. (05/31/2019), Dupont De Nemours Inc. (06/03/2019)

Trust #3

Irrevocable GST Trust for me (from [REDACTED] trust).

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

Davenport Brokerage

My [REDACTED] account

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Wilkinson III, James H.

Date of Report

5/12/2020

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/ James H. Wilkinson III**

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