

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/14/2021
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 01/01/2020 to 12/31/2020
	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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	University of Richmond
2. Administrator (Position ended July 2020)	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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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. 2020	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. 01 - 02/20	Kelly Services, Inc. - Wages (Employment ended in February 11, 2020.)
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	02/14/2020 to 02/16/2020	Phoenix, AZ	2020 O'Connor Justice Prize Dinner	Travel, Lodging & Meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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. 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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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	J	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	J	T					
7. Prudential High Yield Bond		None	J	T					
8. ManuLife Financial - Common Stock	B	Dividend	K	T					
9. New York Life IRA - Fixed Annuity	A	Interest	J	T					
10. RiverSource Life Insurance Company IRA Fixed	B	Interest	K	T					
11. Consolidated Bank & Trust/Premier Bank	A	Interest	J	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	J	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	

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. Fidelity Mgmt. Trust Co. - IRA "(H)"									See Part VIII. Explanation
19. Fidelity Gov't Money Mkt.	A	Dividend	J	T					
20. Strategic Advisors Large Cap Fund	A	Dividend	M	T					See Part VIII. Explanation
21.					Buy (add'l)	11/24/20	J		Stock Market
22.					Sold (part)	12/17/20	J		Stock Market
23. Strategic Advisers Core Fund	B	Dividend			Sold (part)	01/23/20	J	A	Stock Market
24.					Buy (add'l)	03/06/20	J		Stock Market
25.					Sold (part)	04/16/20	J		Stock Market
26.					Buy (add'l)	04/27/20	J		Stock Market
27.					Buy (add'l)	04/28/20	J		Stock Market
28.					Buy (add'l)	06/30/20	J		Stock Market
29.					Sold (part)	07/30/20	J	A	Stock Market
30.					Sold (part)	08/20/20	J	A	Stock Market
31.					Sold (part)	10/23/20	J	A	Stock Market
32.					Merged (with line 20)	11/20/20			See Part VIII. Explanation
33. Strategic Advisers Growth Fund	A	Dividend			Sold (part)	01/23/20	J	A	Stock Market
34.					Sold (part)	04/16/20	J	A	Stock Market

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 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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.					Sold (part)	04/27/20	J	A	Stock Market
36.					Sold (part)	06/05/20	J	A	Stock Market
37.					Sold (part)	06/30/20	J	A	Stock Market
38.					Sold (part)	07/30/20	J	A	Stock Market
39.					Sold (part)	08/20/20	J	A	Stock Market
40.					Sold (part)	09/11/20	J	A	Stock Market
41.					Merged (with line 20)	11/20/20			See Part VIII. Explanation
42. Strategic Advisers Value Fund	A	Dividend			Buy (add'l)	03/06/20	J		Stock Market
43.					Buy (add'l)	04/01/20	J		Stock Market
44.					Sold (part)	06/05/20	J		Stock Market
45.					Sold (part)	07/30/20	J		Stock Market
46.					Merged (with line 20)	11/20/20			See Part VIII. Explanation
47. Fidelity SAI U.S. Large Cap Index		None			Sold (part)	01/23/20	J	B	Stock Market
48.					Sold	04/27/20	J	B	Stock Market
49. Strategic Advisers Emerging Markets	A	Dividend	K	T	Buy (add'l)	04/01/20	J		Stock Market
50.					Buy (add'l)	06/05/20	J		Stock Market
51.					Buy (add'l)	06/30/20	J		Stock Market

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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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.					Buy (add'l)	07/30/20	J		Stock Market
53.					Buy (add'l)	09/11/20	J		Stock Market
54.					Buy (add'l)	10/23/20	J		Stock Market
55.					Sold (part)	12/17/20	J	A	Stock Market
56. Strategic Advisers Small-Mid Cap Fund	B	Dividend	K	T	Sold (part)	01/23/20	J		Stock Market
57.					Buy (add'l)	03/06/20	J		Stock Market
58.					Buy (add'l)	04/01/20	J		Stock Market
59.					Sold (part)	04/27/20	J		Stock Market
60.					Sold (part)	06/05/20	J		Stock Market
61.					Buy (add'l)	06/30/20	J		Stock Market
62.					Sold (part)	08/20/20	J	A	Stock Market
63.					Sold (part)	08/20/20	J		Stock Market
64.					Buy (add'l)	09/11/20	J		Stock Market
65.					Sold (part)	10/23/20	J	A	Stock Market
66.					Sold (part)	12/17/20	J	A	Stock Market
67. Strategic Advisers International Fund	B	Dividend	L	T	Sold (part)	01/23/20	J		Stock Market
68.					Buy (add'l)	03/06/20	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	
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)
69.					Buy (add'l)	04/01/20	J		Stock Market
70.					Buy (add'l)	04/27/20	J		Stock Market
71.					Sold (part)	06/05/20	J		Stock Market
72.					Buy (add'l)	06/30/20	J		Stock Market
73.					Buy (add'l)	07/30/20	J		Stock Market
74.					Buy (add'l)	09/11/20	J		Stock Market
75.					Buy (add'l)	10/23/20	J		Stock Market
76.					Sold (part)	11/24/20	J	A	Stock Market
77.					Sold (part)	12/17/20	J	A	Stock Market
78. Fidelity SAI International Index		None			Sold (part)	04/01/20	J		Stock Market
79.					Sold (part)	06/30/20	J	A	Stock Market
80.					Sold	06/30/20	J		Stock Market
81. Fidelity SAI Emerging Markets Index		None			Buy (add'l)	01/23/20	J		Stock Market
82.					Sold (part)	03/06/20	J		Stock Market
83.					Sold (part)	04/01/20	J		Stock Market
84.					Sold (part)	06/05/20	J	A	Stock Market
85.					Sold	06/30/20	J	A	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	
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 9 of 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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. AQR Managed Futures Fund CL N	A	Dividend	J	T	Sold (part)	04/27/20	J		Stock Market
87.					Buy (add'l)	06/05/20	J		Stock Market
88.					Sold (part)	06/30/20	J		Stock Market
89.					Buy (add'l)	07/30/20	J		Stock Market
90.					Sold (part)	09/11/20	J		Stock Market
91.					Sold (part)	10/23/20	J		Stock Market
92.					Sold (part)	11/24/20	J		Stock Market
93.					Sold (part)	12/17/20	J		Stock Market
94. Cohen & Steers Realty Shares	A	Dividend	J	T	Buy	06/05/20	J		Stock Market
95.					Buy (add'l)	06/30/20	J		Stock Market
96.					Buy (add'l)	07/30/20	J		Stock Market
97.					Buy (add'l)	12/17/20	J		Stock Market
98. Fidelity Total Bond "(H)"									See Part VIII. Explanation
99. Strategic Advisers Short Duration Fund	A	Dividend			Buy (add'l)	04/01/20	J		Stock Market
100.					Buy (add'l)	06/05/20	J		Stock Market
101.					Sold (part)	06/30/20	J	A	Stock Market
102.					Sold (part)	07/30/20	J	A	Stock Market

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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)
103.					Sold (part)	08/20/20	J	A	Stock Market
104.					Sold	09/11/20	J	B	Stock Market
105. Strategic Advisers Income Opportunities	A	Dividend	K	T	Buy (add'l)	04/27/20	J		Stock Market
106.					Buy (add'l)	06/05/20	J		Stock Market
107.					Buy (add'l)	06/30/20	J		Stock Market
108.					Buy (add'l)	07/30/20	J		Stock Market
109.					Buy (add'l)	08/20/20	J		Stock Market
110.					Buy (add'l)	09/11/20	J		Stock Market
111.					Buy (add'l)	10/23/20	J		Stock Market
112.					Buy (add'l)	11/24/20	J		Stock Market
113.					Buy (add'l)	12/17/20	J		Stock Market
114. Strategic Advisers Core Income Fund	D	Dividend	M	T	Buy (add'l)	01/23/20	J		Stock Market
115.					Sold (part)	03/06/20	J	A	Stock Market
116.					Buy (add'l)	03/23/20	J		Stock Market
117.					Buy (add'l)	03/24/20	J		Stock Market
118.					Sold (part)	04/01/20	J		Stock Market
119.					Sold (part)	04/27/20	J	A	Stock Market

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

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)
120.					Buy (add'l)	06/05/20	J		Stock Market
121.					Sold (part)	06/30/20	J	A	Stock Market
122.					Sold (part)	07/30/20	J	A	Stock Market
123.					Buy (add'l)	08/20/20	J		Stock Market
124.					Sold (part)	09/11/20	J	A	Stock Market
125.					Sold (part)	10/23/20	J	A	Stock Market
126.					Sold (part)	11/24/20	J	A	Stock Market
127.					Buy (add'l)	12/17/20	J		Stock Market
128. Eaton Vance GL Macro Absolute RTRN ADV A	A	Dividend	J	T					
129. PIMCO Commodity Real Return Inst	A	Dividend			Sold (part)	03/23/20	J	A	Stock Market
130.					Sold	03/23/20	J		Stock Market
131. FIMM Government Portfolio Instl CL	A	Dividend			Sold (part)	02/24/20	J		Stock Market
132.					Buy (add'l)	03/06/20	J		Stock Market
133.					Buy (add'l)	04/16/20	J		Stock Market
134.					Buy (add'l)	04/27/20	J		Stock Market
135.					Sold (part)	05/18/20	J		Stock Market
136.					Sold	06/05/20	J		Stock Market

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

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)
137. Fidelity Government Cash Reserves	A	Dividend	J	T	Buy (add'l)	03/23/20	J		Stock Market
138.					Sold (part)	03/24/20	J		Stock Market
139.					Buy (add'l)	03/31/20	J		Stock Market
140.					Buy (add'l)	04/27/20	J		Stock Market
141.					Sold (part)	04/28/20	J		Stock Market
142.					Buy (add'l)	06/05/20	J		Stock Market
143.					Sold (part)	06/05/20	J		Stock Market
144.					Sold (part)	06/30/20	J		Stock Market
145.					Buy (add'l)	07/08/20	J		Stock Market
146.					Sold (part)	07/30/20	J		Stock Market
147.					Buy (add'l)	08/20/20	J		Stock Market
148.					Sold (part)	08/21/20	J		Stock Market
149.					Buy (add'l)	09/11/20	K		Stock Market
150.					Sold (part)	10/23/20	J		Stock Market
151.					Sold (part)	11/13/20	J		Stock Market
152.					Sold (part)	11/24/20	J		Stock Market
153.					Buy (add'l)	12/17/20	J		Stock Market

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

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)
154. Fidelity Deferred Annuity Account		None	N	T					
155. Fidelity Rollover IRA "Cash Account"	A	Interest	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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting	Date of Report
Gregory, Roger L.	05/14/2021

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, my spouse, and my children 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. NOTE: My duties as Administrator have ended. The estate checking account was closed on July 7, 2020.

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, bonds, and the deferred annuity account managed by Fidelity Management Trust Company on Lines 19 through 97.

Lines 20: On November 20, 2020, the three stock funds listed on lines 23, 33, and 42 were merged into a new stock fund named Strategic Advisors Large Cap Fund. The income, values, and transactions for Strategic Advisors Large Cap Fund are shown on Lines 20 - 22.

Line 32: Strategic Advisors Core Fund was merged into Strategic Advisors Large Cap Fund on November 20, 2020. The pre-merger income and transactions are reported on Lines 23 - 31. Strategic Advisors Core Fund will not be reported as a fund in the future.

Line 41: Strategic Advisors Growth Fund was merged into Strategic Advisors Large Cap Fund on November 20, 2020. The pre-merger income and transactions are reported on Lines 33 - 40. Strategic Advisors Growth Fund will not be reported as a fund in the future.

Line 46: Strategic Advisors Value Fund was merged into Strategic Advisors Large Cap Fund on November 20, 2020. The pre-merger income and transactions are reported on Lines 42 - 45. Strategic Advisors Value Fund will not be reported as a fund in the future.

Line 98: Fidelity Total Bond. No information is reported on Line 98 because I report all transactions, income, and values related to the Bond accounts under Fidelity Total Bond on Lines 99 through 130.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Gregory, Roger L.

Date of Report

05/14/2021

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