

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) Rushing, Allison J.	2. Court or Organization U.S. Court of Appeals for the Fourth Circuit	3. Date of Report 05/14/2021
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 01/01/2020 to 12/31/2020
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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. 2017	Williams & Connolly defined benefit plan - the law firm ceased making contributions to the plan after my separation in 2019
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.		
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. 2020	, 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.				

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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.		
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. Navy Federal Credit Union cash accounts	B	Interest	M	T					
2. Investment Account (H)									
3. -iShares iBoxx Investment Corporate Bond	A	Dividend			Sold	03/13/20	J		
4. -Morgan Stanley Bank NA	A	Interest	J	T					
5. -Bank Baroda New York NY 09/14/2020	A	Interest			Redeemed	09/14/20	K	A	
6. -iShares MSCI Emerging Market ETF		None			Sold	03/13/20	K		
7. -Vanguard REIT Index Admiral	A	Dividend	J	T					
8. -Vanguard Mid-Cap ETF Index	B	Dividend	L	T					
9. -Vanguard FTSE Europe ETF		None			Sold	03/13/20	K		
10. -iShares Inc MSCI Japan ETF		None			Sold	03/13/20	K		
11. -iShares Core U.S. Aggregate	A	Dividend			Sold	03/13/20	K	A	
12. -iShares Global 100 ETF	B	Dividend	L	T	Sold (part)	03/13/20	J		
13.					Sold (part)	09/16/20	K	C	
14. -Morgan Stanley Buffered Plus on Sx5E		None			Redeemed	10/05/20	K	A	
15. -iShares MSCI EAFE ETF		None			Sold	03/13/20	L		
16. -Pioneer Mlt Asset Ultra-short Inc Y	A	Dividend	K	T					
17. -Vanguard 500 Index Admiral	B	Dividend	M	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)	(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. -SPDR S&P 500 ETF	C	Dividend	M	T	Sold (part)	03/13/20	J	A	
19.					Sold (part)	09/16/20	K	D	
20.					Sold (part)	12/23/20	L	E	
21. -Ishares S&P 500 Val ETF		None			Sold	03/13/20	L		
22. -JP Morgan Ultra-Short Inc ETF	A	Dividend			Sold	03/13/20	J		
23. -Oakmark Equity & Income Adv	B	Dividend	K	T					
24. -Neuberger Berman EQ Inc Ins	A	Dividend	J	T					
25. -PGIM Total Return Bond Z	A	Dividend			Sold	03/13/20	L		
26. -Thornburg Inv Inc Builder I	A	Dividend	J	T	Sold (part)	09/16/20	K		
27. -State Bank Ind New York NY CD 06/11/20	A	Interest			Redeemed	06/11/20	K	A	
28. -Valley National Bank CD Passaic NJ 03/05/20	A	Interest			Redeemed	03/05/20	K	A	
29. -AB Sel US Long/Short ADV	B	Dividend	L	T	Buy	10/06/20	K		
30. -ACAP Strategic Interval Common	C	Dividend	L	T	Buy	09/30/20	L		
31. -American Funds 529 College 2036 A	B	Dividend	K	T	Buy	01/13/20	K		
32.					Buy (add'l)	03/17/20	J		
33. -American Funds 529 College 2036 C	A	Dividend	K	T	Buy	09/22/20	J		
34.					Buy (add'l)	10/01/20	J		

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		
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35.					Buy (add'l)	11/03/20	J		
36.					Buy (add'l)	12/01/20	J		
37. -Calamos Market Neutral Inc I	A	Dividend	L	T	Buy	10/06/20	K		
38. -Delaware Value Institutional	B	Dividend	L	T	Buy	03/13/20	L		
39. -Guggenheim Total Return Bond Fund I	B	Dividend	K	T	Buy	10/06/20	K		
40. -Invesco Developing Mkts Y	A	Dividend	L	T	Buy	03/13/20	K		
41. -Lord Abbett Short Duration Inc F	A	Dividend	L	T	Buy	10/06/20	L		
42. -Metropolitan West Total Return Bond I	B	Dividend	K	T	Buy	10/06/20	K		
43. -Oakmark International Advisors	A	Dividend	L	T	Buy	03/13/20	L		
44. -Pimco Total Return 12	A	Dividend	K	T	Buy	12/23/20	K		
45. -Principal Blue Chip I	B	Dividend	L	T	Buy	03/13/20	K		
46. -T Rowe Price Japan Fund	A	Dividend	K	T	Buy	03/13/20	K		
47. -Vanguard FTSE Developed Mkts E	B	Dividend	L	T	Buy	03/13/20	L		
48. -Vanguard Growth ETF	A	Dividend	L	T	Buy	03/13/20	K		
49. -Virtus Kar Small Mid Cap Core I		None	K	T	Buy	12/23/20	K		
50. [REDACTED] Fidelity AF Target Date 2055 R6 Fund	D	Dividend	M	T					
51. Ernst & Young Fidelity 401(k) (H)									

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52. -Dodge & Cox Stock	A	Dividend	J	T					
53. -TRP New Horizons I	A	Dividend	J	T					
54. -Vang Cap Opps ADM	A	Dividend	J	T					
55. -Vanguard Target 2015	A	Dividend	J	T					
56. -Vang Sm Val IDX Inst	A	Dividend	J	T					
57. -Fid 500 Index IPR	A	Dividend	J	T					
58. -AF New Perspect R6	A	Dividend	J	T					
59. -Vanguard Target 2050	A	Dividend	J	T					
60. -AF Europac Growth R6	A	Dividend	J	T					
61. -Fid Divsfd Intl Pool	A	Dividend	J	T					
62. Fidelity Blue Chip Growth		None			Sold	01/15/20	J	A	
63. Fidelity NASDAQ Composite Index		None			Sold	01/15/20	J	A	
64. Fidelity OTC Portfolio Fund		None			Sold	01/15/20	J	A	

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

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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/ 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
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Washington, D.C. 20544