

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Agee, George S.	2. Court or Organization 4th Circuit	3. Date of Report 05/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Fourth Circuit U.S. Court of Appeals 1100 E. Main Street Richmond, VA 23218		
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	Bridgewater College
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.		
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. 2016	Commonwealth of Virginia-Retirement Income	\$70,000.00
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. 2016	Carilion Clinic-Salary
2. 2016	RGC Resources, Inc. - Director Fees
3. 2016	Hometown Bank - Director Fees
4. 2016	Health Care Realty Trust Incorporated - Director Fees

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. American Hospital Association	10/19-10/22/2016	Los Angeles, CA	Spouse's AHA meeting	Transportation, meals, hotel
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. AMNB	A	Dividend	J	T					
2. SUWI, LLC - (H)									
3. -Rental Property #1 Roanoke, VA	C	Distribution	L	W					
4. Healthcare Realty Trust, Inc.	B	Dividend	L	T	Buy	09/04/16	L		
5. Agee Mill, LLC	A	Distribution	L	W					
6. RGC Resources, Inc.	D	Dividend	N	T					
7. First Citizens Bank Account	A	Interest	J	T					
8. Hometown Bank	C	Dividend	M	T					
9. BBT	A	Dividend	J	T					
10. DWGAX	A	Dividend	J	T					
11. MSFT	A	Dividend	J	T					
12. CAIBX	B	Dividend	M	T					
13. CWGIX	A	Dividend	J	T					
14. ANCFX	B	Dividend	M	T					
15. AGTHX	B	Dividend	M	T					
16. ANWPX	A	Dividend	L	T					
17. NEWFX	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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18. IGAAX	A	Dividend	K	T					
19. BNCN	A	Int./Div.	K	T					
20. NYVCX	A	Dividend	J	T					
21. ACERX	A	Dividend	L	T					
22. AFTEX (formerly known as TFVAX)	A	Dividend	K	T					
23. AMECX	A	Dividend	K	T					
24. AFL	A	Dividend	J	T					
25. STLD	A	Dividend	K	T					
26. SBPLX	A	Dividend	J	T					
27. FSBCX	A	Dividend	K	T					
28. Edward Jones Cash Account	A	Interest	J	T					
29. AAPL	A	Dividend	J	T	Buy	07/01/16	J		
30. RCC Equity Group, LLC	A	Dividend	K	U	Buy	01/01/16	K		
31. IRA #1* - (H)									
32. -IGAAX	A	Dividend	J	T					
33. -ANWPX	A	Dividend	J	T					
34. -CWGIX	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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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				
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35. -AMRMX	A	Dividend	J	T					
36. -ANCFX	A	Dividend	J	T					
37. -CAIBX	A	Dividend	K	T					
38. -AMECX	A	Dividend	J	T					
39. -AMCPX	A	Dividend	K	T					
40. -AGTHX	A	Dividend	J	T					
41. -NEWFX	A	Dividend	J	T					
42. Retirement Account #1 Virginia Deferred Compensation Plan - (H)									
43. -VRS Stock Fund	C	Dividend	M	T					
44. -Stable Value Fund	A	Dividend	L	T					
45. -VRS Int'l Stock Fund	C	Dividend	L	T					
46. -VRS Small/Mid Cap Stock Fund	B	Dividend	K	T					
47. -VRS International (formerly Emerging Markets Stock Fund)	C	Dividend	L	T					
48. IRA #2 - (H)									
49. -IGAAX	A	Dividend	J	T					
50. -ANWPX	A	Dividend	J	T					
51. -CWGIX	A	Dividend	J	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -AMRMX	A	Dividend	J	T					
53. -ANCFX	A	Dividend	J	T					
54. -CAIBX	A	Dividend	J	T					
55. -AMECX	A	Dividend	J	T					
56. -AMCPX	A	Dividend	J	T					
57. -AGTHX	A	Dividend	J	T					
58. -NEWFX	A	Dividend	J	T					
59. Retirement Account #2 Carilion Health System Sec 403(b) Plan - (H)									
60. -Prudential Guaranteed Income Fund 28	A	Interest	J	T	Buy	06/30/16	J		
61. -JP Morgan Short Duration Bond R6	A	Interest			Sold	06/30/16	J	A	
62. -Metropolitan West Total Return Bond Plan	D	Dividend	M	T					
63. -American Funds Euro Pacific Growth	A	Dividend	J	T					
64. -Goldman Sachs MDCAP Val/A	D	Dividend	M	T					
65. -Prudential Jennison Sm Company A*1	D	Dividend	M	T					
66. -Victory Munder Mid Cap Core Gr FdY	A	Dividend	J	T					
67. -Vanguard Instl Index I	E	Dividend	N	T					
68. Retirement Acct #3 Carilion Health System Sec 457(b) Plan - (H)									

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69. -Metropolitan West Total Return Bond Plan	B	Dividend	L	T					
70. -J Hancock Disciplined Value R6	D	Dividend	M	T					
71. -Vanguard Instl I	D	Dividend	M	T					
72. Retirement Acct #4 Equivest TSA 501(c)(3) Plan - (H)									
73. -EQ Guaranteed Interest	A	Dividend	J	T					
74. -EQ International Equity Index	A	Dividend	J	T					
75. -AXA/AB Small Cap Growth	A	Dividend	J	T					
76. -AXA MidCap VA1 Managed Vol	A	Dividend	J	T					
77. -EQ Black Rock Basic	B	Dividend	K	T					
78. -Equitable Multimanager Core Bond	A	Dividend	J	T					
79. -Equitable Charter Multi Sector Bond	A	Dividend	J	T					
80. Retirement Acct #5 Alliance Benefit Group Capital ACCU.AC - (H)									
81. -TWEAX	A	Dividend			Sold	06/01/16	K	A	
82. -CAAPX	A	Dividend			Sold	06/01/16	K	A	
83. -FMCAX	A	Dividend			Sold	06/01/16	J	A	
84. -GABGX	A	Dividend			Sold	06/01/16	J	A	
85. -WEBAX	A	Dividend			Sold	06/01/16	K	A	

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86. -GABAX	A	Dividend			Sold	06/01/16	K	A	
87. -PREIX	A	Dividend			Sold	06/01/16	K	A	
88. -FTCIMA	C	Dividend	M	T					
89. FAIGX	B	Dividend	L	T	Buy	06/01/16	L		
90. VFINX	B	Dividend	M	T	Buy	06/01/16	M		
91. Life Insurance Policy #1 Natl Life Ins Co Whole Life	C	Dividend	M	T					
92. Life Insurance Policy #2 Equitable Variable Life - (H)									
93. -AXA Moderate Allocation	A	Dividend	J	T					
94. -EQ/Common Stock Index	A	Dividend	J	T					
95. -Multimanager, Aggressive Equity	A	Dividend	J	T					
96. Life Ins Policy #3 Lincoln Nat'l Life Ins Co Index Life	A	Dividend			Redeemed	07/21/16	J	A	

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

1. Part III, Item 4 in 2015 report reflected director's fees earned by my spouse from Rockingham Mutual Insurance Co. Her service to that company terminated in 2015, therefore this item is no longer included.

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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/ George S. Agee

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