

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 04/28/2015
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 01/01/2014 to 12/31/2014
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	Trust #1
2.	Trustee	Bridgewater College
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 11

Name of Person Reporting

Agee, George S.

Date of Report

04/28/2015

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. 2014	Commonwealth of Virginia-Retirement Income	\$68,000.00
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. 2014	Carilion Clinic-Salary
2. 2014	RGC Resources, Inc. - Director Fees
3. 2014	Hometown Bank - Director Fees
4. 2014	Rockingham Mutual Insurance Co. - 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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Agee, George S.

Date of Report

04/28/2015

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

Agee, George S.

Date of Report

04/28/2015

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 (formerly known as Mainstreet Bankshares)	A	Dividend	J	U					
2. SUWI, LLC	C	Distribution	L	W					
3. -Rental Property #1 Roanoke, VA									
4. -Rental Property #2 Roanoke, VA									
5. Agee Mill, LLC	A	Distribution	L	W					
6. RGC Resources, Inc.	C	Dividend	M	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	Buy	07/11/14	J		
11. MSFT	A	Dividend	J	T					
12. CAIBX	A	Dividend	L	T					
13. CWGIX	A	Dividend	J	T					
14. ANCFX	B	Dividend	L	T					
15. AGTHX	A	Dividend	L	T					
16. ANWPX	A	Dividend	K	T					
17. NEWFX	A	Dividend	J	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 (See Columns C1 and D3)	J ~\$15,000 or less K ~\$15,001 - \$50,000 L ~\$50,001 - \$100,000 M ~\$100,001 - \$250,000 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 (See Column C2)	R = Cost (Real Estate Only) U = Book Value V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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Agee, George S.

Date of Report

04/28/2015

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☐ NONE (No reportable income, assets, or transactions.)

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18. IGAAX	A	Dividend	K	T					
19. VYFC	A	Int./Div.	K	T					
20. NYVCX	A	Dividend	J	T					
21. ACERX	A	Dividend	K	T					
22. TFXVX	A	Dividend	K	T	Buy	01/21/14	K		
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. ABALX	A	Dividend			Sold	01/21/14	J		
29. Edward Jones Cash Account	A	Interest	J	T					
30. IRA #1*	B	Dividend	M	T					
31. -IGAAX									
32. -ANWPX									
33. -CWGIX									
34. -AMRMX									

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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Agee, George S.

Date of Report

04/28/2015

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35. -ANCFX									
36. -CAIBX									
37. -AMECX									
38. -AMCPX									
39. -AGTHX									
40. -NEWFX									
41. Retirement Account #1 Virginia Deferred Compensation Plan	D	Dividend	N	T					
42. -VRS Stock Fund									
43. -Stable Value Fund									
44. -VRS Int'l Stock Fund									
45. -VRS Small/Mid Cap Stock Fund									
46. -Emerging Markets Stock Fund									
47. IRA #2	B	Dividend	L	T					
48. -IGAAX									
49. -ANWPX									
50. -CWGIX									
51. -AMRMX									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Agee, George S.

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04/28/2015

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52. -ANCFX									
53. -CAIBX									
54. -AMECX									
55. -AMCPX									
56. -AGTHX									
57. -NEWFX									
58. Retirement Account #2 Carilion Health System Sec 403(b) Plan	E	Dividend	O	T					
59. -Pimco Low Duration									
60. -Pimco Total Return/Inst					Buy	01/02/14	L		
61. -Pimco Total Return/Inst					Sold	12/01/14	M	D	
62. -JP Morgan Short Duration Bond R6					Buy	12/01/14	J		
63. -Metropolitan West Total Return Bond Plan					Buy	12/01/14	M		
64. -American Funds Euro Pacific Growth									
65. -Goldman Sachs MDCAP Val/A									
66. -Prudential Jennison Sm Company A*1									
67. -Victory Munder Mid Cap Core Gr FdY (formerly Munder Mid Cap GrA)									
68. -Vanguard Instl Index I (formerly Vanguard Instl Index 500)									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Agee, George S.

Date of Report

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69. Retirement Acct #3 Carilion Health System Sec 457(b) Plan	E	Dividend	N	T					
70. -Metropolitan West Total Return Bond Plan					Buy	12/01/14	K		
71. -Black Rock Equity Dividend									
72. -PIMCO Total Return Bond					Sold	12/01/14	K	A	
73. -Vanguard Instl I (formerly Vanguard Institutional Index 500)									
74. Retirement Acct #4 Equivest TSA 501(c)(3) Plan	B	Int./Div.	L	T					
75. -EQ Guaranteed Interest									
76. -EQ International Equity Index									
77. -EQ Alliance Bernstein SmCpGR									
78. -AXA MidCap VA1 Managed Vol (formerly EQ Market Mid Cap Value Plus)									
79. -EQ Black Rock Basic									
80. -Equitable Multimanager Core Bond									
81. -Equitable Charter Multi Sector Bond (formerly Equitable Multimgtr MSB)									
82. Retirement Acct #5 Alliance Benefit Group Capital ACCU.AC	E	Dividend	N	T					
83. -TWEAX									
84. -CAAPX									
85. -FMCAX									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

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Date of Report

04/28/2015

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86. -GABGX					Sold	12/01/14	K	A	
87. -WEBAX									
88. -GABAX									
89. -PREIX									
90. -FTCIMA									
91. -VFNIX					Sold	03/01/14	K	A	
92. Life Insurance Policy #1 Natl Life Ins Co Whole Life	C	Dividend	M	T					
93. Life Insurance Policy #2 Equitable Variable Life	A	Dividend	K	T					
94. -AXA Moderate Allocation									
95. -EQ/Common Stock Index									
96. -Multimanager, Aggressive Equity									
97. 529 Virginia College Savings Plan-Piedmont Portfolio	A	Dividend			Redeemed	08/21/14	J	A	See Note #2, Part VIII
98. Life Ins Policy #3 Lincoln Nat'l Life Ins Co Index Life	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Agee, George S.

Date of Report

04/28/2015

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

1. Part I, Item I, Trust #1 which was reported in Part VII, Item 50 to 56 (2013 form) is omitted per the Financial Disclosure Instructions for Calendar Year 2014 Reports.
2. Part VII, Item 97 represents final distribution and closure of the 529 Virginia College Savings Plan.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Agee, George S.

Date of Report

04/28/2015

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