

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 10/29/2014
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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.	Director	ChildFund International
2.	Trustee	University of Richmond
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 7

Name of Person Reporting

Gregory, Roger L.

Date of Report

10/29/2014

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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. ChildFund, Int'l	Feb. 25, 2013 - March 1, 2013	Jakarta, Indonesia	Board Meeting	Travel, Lodging, Meals
2. University of Tennessee College of Law	Oct. 24, 2013 - Oct. 25, 2013	Knoxville, TN	Moot Court Competition	Travel, Lodging, Meals
3. Saint Louis University School of Law	Nov. 14, 2013 - Nov. 15, 2013	St. Louis, MO	Keynote Speaker	Travel, Lodging, Meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Gregory, Roger L.

Date of Report

10/29/2014

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.	Wells Fargo Financial National Bank	Credit Card	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Gregory, Roger L.

Date of Report

10/29/2014

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. Prudential Insurance Annuity	D	Dividend	L	T					
3. Philip Morris Profit Sharing Plan (401K)	E	Dividend			Closed	02/22/13	O		Rollover into IRA-no gain
4. ManuLife Financial - Common Stock	B	Dividend	K	T					
5. New York Life IRA - Fixed Annuity	A	Interest	J	T					
6. RiverSource Life Insurance Company IRA Fixed	A	Interest	K	T					
7. Consolidated Bank & Trust/Premier Bank	A	Interest	J	T					
8. John Hancock Life Ins. - term & whole life policy	B	Dividend	L	T					
9. New York Life Ins. Co. - term & whole life policy	A	Interest	J	T					
10. Intel Corp. - Common Stock	A	Dividend	J	T					
11. Call Federal Credit Union		None	J	T					
12. Metropolitan Life Control Account	C	Interest	K	T					
13. SunTrust Money Market Account	A	Interest	J	T					
14. John Hancock Safe Access Account	A	Interest	J	T					
15. Fidelity Mgmt. Trust Co.-IRA					Open	02/22/13	O		Philip Morris, Inc. (401K)
16. Fidelity Gov't Money Mkt.	A	Dividend	O	T					
17. Altria Group, Inc.	A	Dividend	K	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 = \$250,000,001 - \$500,000,000	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	
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 7

Name of Person Reporting

Gregory, Roger L.

Date of Report

10/29/2014

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 I (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)

18. Kraft Foods Group, Inc. COM NPV	A	Dividend	J	T					
19. Mondelez Int'l Inc. COM	A	Dividend	J	T					
20. Philip Morris Int'l Inc. COM	B	Dividend	K	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 6 of 7

Name of Person Reporting

Gregory, Roger L.

Date of Report

10/29/2014

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

III. NON-INVESTMENT INCOME.

A. Filer's

Pursuant to § 102 of the Act, I have not received honoraria and/or non-investment income for 2012. Donation on my behalf has been made to a charitable organization. However, I did not receive income and/or derive financial benefit from the charitable organization. The contribution did not exceed \$2000.00. 5 U.S.C. app § 501 (b) & (c).

The contribution was as follows:

August 28, 2013 - [REDACTED] Church, [REDACTED] - \$200.00 Keynote Speaker

A confidential recipient list is reported under separate cover.

CORRECTIONS PURSUANT TO THE COMMITTEE'S OCTOBER 1, 2014 INQUIRY

IV. REIMBURSEMENTS - transportation, lodging, food, entertainment (amended 10/29/2014)

2. Following the FDR Revised February 2014 instructions, page 26, I am deleting line "2." because I am not required to report "reimbursements provided by the United States, the District of Columbia, or a state or local government or political subdivision thereof; required to be reported under 5 U.S.C. § 7342; or required to be reported under 2 U.S.C. § 434. Section 109(15)."

4. Id. at page 25, I am deleting line "4." because I am not required to report "food, lodging, transportation, and entertainment provided by a foreign government within a foreign country or by the United States, the District of Columbia, or a state or local government or political subdivision thereof; food and beverages not consumed in connection with a gift of overnight lodging. Section 109(5)."

VII. INVESTMENTS and TRUSTS - income, value, transactions (Includes [REDACTED]; see pp. 34-60 of filing instructions.) (amended 10/29/2014)

Pursuant to the Committee's October 1, 2014 inquiry, the previously listed asset, "Altria Group, Inc. Stock is now listed "individually" on Line 17 with the Altria stock held in the Fidelity IRA.

Pursuant to the Committee's October 1, 2014 inquiry, the previously listed asset, "Philip Morris Int'l Common Stocks," is now listed "individually" on Line 20 with the Philip Morris stock held in the Fidelity IRA.

Line 15: Pursuant to the October 1, 2014 letter from the Committee, I list "Fidelity Management Trust Co." (Fidelity), which is the custodian of the IRA account. I report that it was opened on February 22, 2013 with the funds rolled-over from the Philip Morris Profit Sharing Plan (401K). (See Lines 3 & 15). The Fidelity IRA's income and value is not listed en toto on Line 15 because I report the income and value of each stock and fund held in the IRA on Lines 16 through 20.

Line 16 through Line 20: I list the income and value for the individual stocks and funds held in the Fidelity IRA account.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Gregory, Roger L.

Date of Report

10/29/2014

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
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Washington, D.C. 20544