

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/12/2016
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 01/01/2015 to 12/31/2015
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.		
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. 2015	Survivor Income Pension - Altria Group, Inc.	\$31,175.04
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. Jan - May	Rockwell Automation - Salary and Benefits
2. Oct - Dec	Kelly Services, Inc. - Wages
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 Kentucky College of Law	8/6/2015 to 8/7/2015	Lexington, KY	Lecturer at law school	Travel & Lodging
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.)*

	<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.	Direct Loan - U.S. Dep't of Education	Student Loan	K
3.	SLM Corp. - Sallie Mae - U.S. Dep't Education	Student Loan	J
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. Suntrust Bank Interest Checking	A	Interest	J	T					
2. Prudential Insurance Variable Annuity									See Part VIII explanation
3. Prudential Jennison	A	Interest	J	T					
4. Prudential Flexible Managed		None	K	T					
5. Prudential High Yield Bond		None	K	T					
6. ManuLife Financial - Common Stock	B	Dividend	K	T					
7. New York Life IRA - Fixed Annuity	A	Interest	J	T					
8. RiverSource Life Insurance Company IRA Fixed	A	Interest	K	T					
9. Consolidated Bank & Trust/Premier Bank	A	Interest	J	T					
10. John Hancock Life Ins. - term & whole life policy	B	Dividend	L	T					
11. New York Life Ins. Co. - term & whole life policy	B	Interest	J	T					
12. Intel Corp. - Common Stock	A	Dividend	J	T					
13. Call Federal Credit Union		None	J	T					
14. Metropolitan Life Control Account	A	Interest	J	T					
15. SunTrust Money Market Account	A	Interest	J	T					
16. John Hancock Safe Access Account	A	Interest	J	T					
17. Altria Group, 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 = \$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	

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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				
	(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)

18. Philip Morris Int'l, Inc.	A	Dividend	J	T					
19. Fidelity Mgmt. Trust Co. - IRA									See Part VIII. Explanation
20. Fidelity Gov't Money Mkt.		None	J	T					
21. Strategic Advisers Core Fund	C	Dividend	L	T					
22. Strategic Advisers Growth Fund	C	Dividend	K	T					
23. Strategic Advisers Value Fund	C	Dividend	K	T					
24. Strategic Advisers Emerging Markets	A	Dividend	K	T					
25. Strategic Advisers Small-Mid Cap Fund	B	Dividend	K	T					
26. Strategic Advisers International Fund	B	Dividend	L	T					
27. FIMM MMKT PORT INST	A	Dividend	J	T					
28. Arden Alternative Strategies Class I		None	J	T					
29. Blackstone Alternative Multi Manager I	A	Dividend	J	T					
30. PIMCO Total Return Administrative SHS	A	Dividend			Sold	03/24/15	J	A	
31. Fidelity Total Bond	C	Dividend	L	T					See Part VIII. Explanation
32. Fidelity Short Term Bond	A	Dividend	J	T					
33. Strategic Advisers Short Duration Fund	A	Dividend	J	T					
34. Strategic Advisers Income Opportunities	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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35. Strategic Advisers Core Income Fund	B	Dividend	L	T					
36. Templeton Global Bond Class A	A	Dividend	J	T					
37. Fidelity Deferred Annuity Account		None	M	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

VII. INVESTMENTS AND TRUSTS

Line 2: Prudential Insurance Variable Annuity. The income and value is not reported on Line 2 because pursuant to instructions from the Financial Disclosure Committee, I am now reporting activity for each sub-fund separately on Lines 3 through 5.

Line 19: Fidelity Management Trust Co. - IRA. This is the entity that manages all of the IRA investment assets. The income and value is not reported on Line 19 because I report the income and value of the stocks, mutual funds, bonds, and deferred annuity account managed by Fidelity Management Trust Company on Lines 20 through 37.

Line 31: Fidelity Total Bond. This is a summary of the income and value information for all of the bond funds which is also reported separately on Lines 32 through 36. This aggregate entry is probably not necessary as the same information is provided for the individual bond funds. I did not, however, want to delete any previous entry without explanation. I will not report this aggregate entry next year unless otherwise advised.

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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/ 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