

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) Gregory, Roger L.	2. Court or Organization US Court of Appeals - 4th Cir.	3. Date of Report 08/03/2017
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 01/01/2016 to 12/31/2016
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.	Trustee	John Marshall Foundation
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	Survivor Income Pension - Altria Group, Inc.	\$79,061.30
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. September	Rockwell Automation - Pension Benefits
2. 2016	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. Int'l Undergraduate Summit Luncheon	1/22/2016 to 1/24/2016	Atlanta, GA	Keynote Speaker	Travel & Lodging
2. NBA-CLS 29th Annual Corporate Counsel Conference	2/18/2016 to 2/22/2016	Scottsdale, AZ	Judicial Forum	Travel, Lodging, & Meals
3. Old Dominion Bar Assoc.	6/4/2016 to 6/4/2016	Virginia Beach, VA	Keynote Speaker	Lodging
4. Just the Beginning Foundation	9/15/2016 to 9/18/2016	New York, NY	National Conference	Lodging & Meals
5. Eighth Annual Maryland Fellows Reception	10/7/2016 to 10/7/2016	Baltimore, MD	Keynote Speaker	Lodging & Mileage

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6.	American University Washington College of Law	10/20/2016 to 10/22/2016	Washington, DC	Jurist-in-Residence	Lodging, Meals, & Mileage
7.	Chi Gamma Gamma Achievement Week Banquet	11/11/2016 to 11/13/2016	Atlanta, GA	Keynote Speaker	Lodging & Travel

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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		None	J	T					
4. Prudential Flexible Managed	C	Dividend	L	T					
5. Prudential High Yield Bond	C	Dividend	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	K	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			Closed	05/06/16	J		
15. SunTrust Money Market Account	A	Interest	J	T					
16. John Hancock Safe Access Account	A	Interest			Closed	12/15/16	J		
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 = \$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	
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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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)

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.	A	Dividend	J	T					
21. Strategic Advisers Core Fund	C	Dividend	L	T	Buy (add'l)	02/18/16	J		Stock Market
22.					Sold (part)	03/07/16	J		Stock Market
23.					Sold (part)	04/07/16	J		Stock Market
24.					Sold (part)	05/20/16	J		Stock Market
25.					Sold (part)	07/22/16	J		Stock Market
26.					Buy (add'l)	10/06/16	J		Stock Market
27. Strategic Advisers Growth Fund	C	Dividend	K	T	Sold (part)	03/07/16	J		Stock Market
28.					Sold (part)	04/07/16	J		Stock Market
29.					Sold (part)	07/22/16	J		Stock Market
30.					Buy (add'l)	12/02/16	J		Stock Market
31. Strategic Advisers Value Fund	B	Dividend	K	T	Sold (part)	02/23/16	J		Stock Market
32.					Sold (part)	03/18/16	J		Stock Market
33.					Sold (part)	07/22/16	J		Stock Market
34.					Sold (part)	12/02/16	J		Stock Market

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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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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)

35. Strategic Advisers Emerging Markets	A	Dividend	K	T	Buy (add'l)	01/12/16	J		Stock Market
36.					Sold (part)	02/18/16	J		Stock Market
37.					Sold (part)	04/07/16	J		Stock Market
38.					Sold (part)	11/02/16	J		Stock Market
39.					Buy (add'l)	12/02/16	J		Stock Market
40. Strategic Advisers Small-Mid Cap Fund	A	Dividend	K	T	Buy (add'l)	01/12/16	J		Stock Market
41.					Sold (part)	04/07/16	J		Stock Market
42.					Sold (part)	07/22/16	J		Stock Market
43. Strategic Advisers International Fund	B	Dividend	L	T	Buy (add'l)	01/12/16	J		Stock Market
44.					Buy (add'l)	02/18/16	J		Stock Market
45.					Sold (part)	03/07/16	J		Stock Market
46.					Buy (add'l)	04/07/16	J		Stock Market
47.					Sold (part)	05/20/16	J		Stock Market
48.					Buy (add'l)	07/22/16	J		Stock Market
49.					Sold (part)	09/09/16	J		Stock Market
50.					Sold (part)	11/02/16	J		Stock Market
51.					Sold (part)	12/02/16	J		Stock Market

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
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52. FIMM MMKT PORT INST	A	Dividend			Buy (add'l)	01/12/16	J		Stock Market
53.					Sold	02/18/16	J		Stock Market
54. Arden Alternative Strategies Class I		None			Sold (part)	03/07/16	J	A	Stock Market
55.					Sold	03/31/16	J		Stock Market
56. Blackstone Alternative Multi Manager I	A	Dividend			Sold (part)	03/07/16	J		Stock Market
57.					Sold (part)	04/07/16	J		Stock Market
58.					Sold	05/24/16	J	A	Stock Market
59. Fidelity Total Bond									See Part VIII. Explanation
60. Fidelity Short Term Bond	A	Dividend			Sold	09/09/16	J	A	Stock Market
61. Strategic Advisers Short Duration Fund	A	Dividend	K	T	Sold (part)	01/12/16	J		Stock Market
62.					Buy (add'l)	07/22/16	J		Stock Market
63.					Buy (add'l)	09/09/16	J		Stock Market
64.					Buy (add'l)	09/12/16	J		Stock Market
65.					Buy (add'l)	10/06/16	J		Stock Market
66.					Buy (add'l)	11/02/16	J		Stock Market
67. Strategic Advisers Income Opportunities	A	Dividend	J	T	Sold (part)	07/22/16	J		Stock Market
68.					Sold (part)	10/06/16	J		Stock Market

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69. Strategic Advisers Core Income Fund	B	Dividend	L	T	Sold (part)	01/12/16	J		Stock Market
70.					Sold (part)	02/18/16	J		Stock Market
71.					Buy (add'l)	03/07/16	J		Stock Market
72.					Buy (add'l)	07/22/16	J		Stock Market
73.					Buy (add'l)	09/09/16	J		Stock Market
74. Templeton Global Bond Class A	A	Dividend	J	T	Sold (part)	07/22/16	J		Stock Market
75.					Sold (part)	11/02/16	J		Stock Market
76. Fidelity SAI U.S. Large Cap Index	A	Dividend	J	T	Buy	07/22/16	J		Stock Market
77.					Sold (part)	11/02/16	J		Stock Market
78. Fidelity SAI International Index	A	Dividend	J	T	Buy	03/07/16	J		Stock Market
79. Fidelity SAI Emerg Markets Index	A	Dividend	J	T	Buy	05/20/16	J		Stock Market
80.					Buy (add'l)	09/09/16	J		Stock Market
81.					Buy (add'l)	11/02/16	J		Stock Market
82. AQR Managed Futures Fund CL N	A	Dividend	J	T	Buy	05/20/16	J		Stock Market
83.					Buy (add'l)	07/22/16	J		Stock Market
84. FIMM Government Portfolio: Instl CL	A	Dividend	J	T	Buy	02/18/16	J		Stock Market
85.					Buy (add'l)	02/19/16	J		Stock Market

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86.					Buy (add'l)	03/07/16	J		Stock Market
87.					Buy (add'l)	04/07/16	J		Stock Market
88.					Sold (part)	05/20/16	J		Stock Market
89.					Sold (part)	05/24/16	J		Stock Market
90.					Buy (add'l)	05/26/16	J		Stock Market
91.					Sold (part)	08/16/16	J		Stock Market
92.					Buy (add'l)	09/09/16	J		Stock Market
93.					Sold (part)	12/28/16	J		Stock Market
94. Eaton Vance GL Macro Absolute Rtn ADV I	A	Dividend	J	T	Buy	05/20/16	J		Stock Market
95. PIMCO Commodity Real Return Inst	A	Dividend	J	T	Buy	03/18/16	J		Stock Market
96.					Buy (add'l)	04/07/16	J		Stock Market
97.					Buy (add'l)	05/20/16	J		Stock Market
98.					Buy (add'l)	09/09/16	J		Stock Market
99.					Sold (part)	11/02/16	J	A	Stock Market
100. Fidelity Deferred Annuity Account	A	Dividend	M	T					
101. Fidelity Rollover IRA "Cash Account" See Part VIII explanation	A	Interest	M	T	Open	10/31/16	M		IRA Rollover Funds

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

VII. INVESTMENTS AND TRUSTS

Line 2: Prudential Insurance Variable Annuity. No information is reported on Line 2 because I report all income and values for the sub-Funds of the Prudential Insurance Variable Annuity on Lines 3 through 5.

Line 19: Fidelity Management Trust Co. - IRA. No information is reported on Line 19 because I report all transactions, income, and values related to stocks, mutual funds, bonds, and the deferred annuity account managed by Fidelity Management Trust Company on Lines 20 through 100.

Line 59: Fidelity Total Bond. No information is reported on Line 59 because I report all transactions, income, and values related to the Bond accounts under Fidelity Total Bond on Lines 60 through 75.

Line 101: Fidelity Rollover IRA. These funds are held in a cash account called "FDIC Insured Deposit at US Bank IRA Not Covered By SIPC". The cash account earns interest only as reported in Section VII, Columns B (1) and (2). There were no transactions.

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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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