

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 02/22/2013
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.	Director	Bradley Free Clinic
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. 2011	Commonwealth of Virginia - Retirement Income	\$64,000.00
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. 2011	Carilion Clinic - Salary
2. 2011	RGC Resources, Inc. - Director Fees
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.				
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.)*

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.		

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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. 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.	A	Dividend	M	T					
7. First Citizens Bank Account	A	Interest	J	T					
8. Hometown Bank	A	Dividend	J	U					
9. Morgan Stanley Account					Closed				
10. Metro Wash DCA Airport Bond	A	Interest	J	T					
11. BBT	A	Dividend	J	T					
12. INTC	A	Dividend	J	T					
13. MCK	A	Dividend	J	T					
14. MSFT	A	Dividend	J	T					
15. WFC	A	Dividend			Donated				
16. CAIBX	A	Dividend	L	T					
17. CWGLX	A	Dividend	J	T					

1. Income Gain Codes:	A ~\$1,000 or less	B ~\$1,001 - \$2,500	C ~\$2,501 - \$5,000	D ~\$5,001 - \$15,000	E ~\$15,001 - \$50,000
(See Columns B1 and D4)	F ~\$50,001 - \$100,000	G ~\$100,001 - \$1,000,000	H1 ~\$1,000,001 - \$5,000,000	H2 ~More than \$5,000,000	
2. Value Codes	J ~\$15,000 or less	K ~\$15,001 - \$50,000	L ~\$50,001 - \$100,000	M ~\$100,001 - \$250,000	
(See Columns C1 and D3)	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	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. ANCFX	A	Dividend	K	T					
19. AGTHX	A	Dividend	K	T					
20. ANWPX	A	Dividend	J	T					
21. NEWFX	A	Dividend	J	T					
22. IGAAX	A	Dividend	K	T					
23. COF	A	Dividend	J	T					
24. VYFC	A	Int./Div.	J	T					
25. NYVCX	A	Dividend	J	T					
26. KAUCX	A	Dividend			Sold	11/16/11	J	A	
27. LMVTX	A	Dividend			Sold	11/16/11	J	A	
28. ACERX	A	Dividend	K	T					
29. TFXVX	A	Dividend	J	T					
30. AMECX	A	Dividend	K	T					
31. ANWPX	A	Dividend	K	T					
32. AFL	A	Dividend	J	T	Buy	08/11/11	J		
33. STLD	A	Dividend	J	T	Buy	08/11/11	J		
34. SBPLX	A	Dividend	J	T	Buy	11/15/11	J		

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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35. FSBCX	A	Dividend	K	T	Buy	11/15/11	K		
36. Edward Jones Cash Account	A	Interest	J	T					
37. BROADWAY VA IDA BOND	A	Interest	J	T					
38. IRA #1*	B	Dividend	L	T					
39. -IGAAX									
40. -ANWPX									
41. -CWGIX									
42. -AMRMX									
43. -ANCFX									
44. -CAIBX									
45. -AMECX									
46. -AMCPX									
47. -AGTHX									
48. -NEWFX									
49. RETIREMENT ACCOUNT #1 VIRGINIA DEFERRED COMPENSATION PLAN	D	Dividend	M	T					
50. -RUSSELL 1000 VALUE INDEX									
51. -STABLE VALUE FUND									

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. -SAND P 500 INDEX FUND									
53. -ACTIVE GLOBAL EQUITY FUND									
54. -ACTIVE BOND FUND									
55. -RUSSELL 1000 GROWTH INDEX FUND									
56. -RUSSELL 3000 INDEX FUND									
57. TRUST #1	B	Int./Div.	M	T					
58. -VALLEY BANK ACCOUNT									
59. -BANK OF AMERICA ACCOUNT					Closed				
60. -EDWARD JONES ACCOUNT									
61. -MET									
62. -WFC									
63. -ACERX									
64. IRA #2	B	Dividend	K	T					
65. -IGAAX									
66. -ANWPX									
67. -CWGIX									
68. -AMRMX									

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69. -ANCFX									
70. -CAIBX									
71. -AMECX									
72. -AMCPX									
73. -AGTHX									
74. -NEWFX									
75. RETIREMENT ACCOUNT #2 CARILION HEALTH SYSTEM SEC 403(b) PLAN	E	Dividend	N	T					
76. -PIMCO LOW DURATION									
77. -VAN KAMPEN EQUITY & INC									
78. -FID SPARTAN USEqIDX									
79. -FID LOW PRICED STOCK									
80. -American Funds Euro Pacific Growth									
81. -Goldman Sachs MDCAP Val/A									
82. -Prudential Jennison Sm Company A*1									
83. -Munder Mid Cap Core Gr A									
84. RETIREMENT ACCT #3 CARILION HEALTH SYSTEM SEC 457(b) PLAN	D	Dividend	M	T					
85. -VAN KAMPEN EQUITY & INC									

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86. -DODGE & COX STOCK FUND					Sold	10/02/11	L	A	
87. -BLACK ROCK EQUITY DIVIDEND					Buy	10/02/11	L		
88. RETIREMENT ACCOUNT #4 EQUIVEST TSA 501(c)(3) PLAN	A	Int./Div.	K	T					
89. -EQ GUARANTEED INTEREST									
90. -EQ INTERNATIONAL EQUITY INDEX (formerly EQ Alli. Bern Intl)									
91. -EQ ALLIANCE BERNSTEIN SmCpGR									
92. -EQ MARKET PLUS MID CAP VALUE									
93. -EQ BLACK ROCK BASIC									
94. -Equitable Multimanager Core Bond									
95. -Equitable Multimanager Multi Sector Bond *2									
96. RETIREMENT ACCOUNT #5 ALLIANCE BENEFIT GROUP CAPITAL ACCU.AC	E	Dividend	N	T					
97. -TWEAX									
98. -CAAPX									
99. -FMCAX									
100. -FAERX					Sold	03/31/11	J	A	
101. -GABGX									
102. -WEBAX									

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103. -GABAX									
104. -GABEX					Sold	03/31/11	K	A	
105. -PREIX									
106. -FTCIMA									
107. -BGNAX					Sold	03/31/11	J	A	
108. -FUSEX					Sold	03/31/11	K	A	
109. -VFIIX					Sold	03/31/11	J	A	
110. -VFNIX									
111. LIFE INSURANCE POLICY #1 NATL LIFE INS. CO. WHOLE LIFE	C	Dividend	L	T					
112. LIFE INSURANCE POLICY #2 EQUITABLE VARIABLE LIFE	A	Dividend	J	T					
113. -AXA MODERATE ALLOCATION									
114. -EQ/COMMON STOCK INDEX									
115. -MULTIMANAGER, AGGRESSIVE EQUITY									
116. 529 VIRGINIA COLLEGE SAVINGS PLAN	A	Dividend	K	T					
117. -Piedmont Portfolio									
118. -Highlands Portfolio (merged into Piedmont Portfolio)									
119. LIFE INSURANCE POLICY #3 LINCOLN NAT'L LIFE INS CO PREM LIFE	D	Int./Div.	J	T					

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

1. No income from Trust #1 comes to me as Trustee and is solely for the benefit of a third party. I receive no compensation from the Trust.
2. Part VII, Item 118. The Highlands Portfolio of the 529 Virginia College Savings Plan was merged into the Piedmont Portfolio.
3. Part VII, Item 112. I previously reported this policy as a traditional cash value policy, but have verified it is a variable life policy so the insured controls the investment options which are now listed.

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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