AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Gregory, Roger L.	United States Court of Appeals for the Fourth Circuit	05/12/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Article III Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	University of Richmond
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	Survivor Income Pension - Altria Group, Inc.	$20,053.56
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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	West Virginia Bar Association Conference	07/22/2021 to 07/24/2021	White Sulphur Springs, WV	Keynote Speaker	Travel & Lodging
2.	Washington & Lee University School of Law	11/21/2021 to 11/22/2021	Lexington, VA	Moot Court	Travel & Lodging
3.					
4.					
5.					

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V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Direct Loan - U.S. Dep't of Education	Student Loan	K
2.	SLM Corp. - Sallie Mae - U.S. Dep't Education	Student Loan	J
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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)	
1.	Suntrust Bank Interest Checking	A	Interest	J	T					
2.	Wells Fargo Interest Checking	A	Interest	J	T					
3.	BB&T Bank Checking		None	J	T					
4.	Prudential Insurance Variable Annuity "(H)"									See Part VIII. Explanation
5.	-Prudential Jennison		None	J	T					
6.	-Prudential Flexible Managed		None	J	T					
7.	-Prudential High Yield Bond		None	J	T					
8.	ManuLife Financial - Common Stock	B	Dividend	K	T					
9.	New York Life IRA - Fixed Annuity	A	Interest	J	T					
10.	RiverSource Life Insurance Company IRA Fixed	B	Interest	K	T					
11.	Premier Bank/Peoples Bank	A	Interest	J	T					
12.	John Hancock Life Ins. - term & whole life policy	A	Dividend	L	T					
13.	New York Life Ins. Co. - term & whole life policy	B	Interest	J	T					
14.	Call Federal Credit Union		None	J	T					
15.	SunTrust Money Market Account	A	Interest	K	T					
16.	Altria Group, Inc.	A	Dividend	J	T					
17.	Philip Morris Int'l, Inc.	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	
	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 (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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
	U =Book Value	V =Other	W =Estimated			

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☐ 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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
18. Fidelity Mgmt. Trust Co. - IRA "(H)"									See Part VIII. Explanation
19. -Fidelity Gov't Money Mkt.		None	J	T					
20. -Strategic Advisors Large Cap Fund	E	Dividend	M	T	Sold (part)	01/22/21	J	A	Stock Market
21.					Buy (add'l)	02/04/21	J		Stock Market
22.					Sold (part)	02/25/21	J	A	Stock Market
23.					Sold (part)	04/23/21	J	A	Stock Market
24.					Sold (part)	05/26/21	J	A	Stock Market
25.					Sold (part)	06/24/21	J	B	Stock Market
26.					Sold (part)	07/29/21	J	B	Stock Market
27.					Sold (part)	09/10/21	J	A	Stock Market
28.					Sold (part)	10/12/21	J	A	Stock Market
29.					Sold (part)	11/17/21	J	C	Stock Market
30.					Sold (part)	12/10/21	J	A	Stock Market
31. -Strategic Advisers Emerging Markets	D	Dividend	K	T	Sold (part)	01/22/21	J	A	Stock Market
32.					Sold (part)	02/25/21	J	A	Stock Market
33.					Buy (add'l)	04/23/21	J		Stock Market
34.					Buy (add'l)	05/26/21	J		Stock Market

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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	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	
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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
35.					Sold (part)	06/24/21	J	A	Stock Market
36.					Buy (add'l)	07/29/21	J		Stock Market
37.					Sold (part)	09/10/21	J		Stock Market
38.					Sold (part)	10/12/21	J		Stock Market
39.					Buy (add'l)	11/17/21	J		Stock Market
40.					Buy (add'l)	12/10/21	J		Stock Market
41. -Strategic Advisers Small-Mid Cap Fund	D	Dividend	K	T	Sold (part)	01/22/21	J	A	Stock Market
42.					Buy (add'l)	02/25/21	J		Stock Market
43.					Sold (part)	04/23/21	J		Stock Market
44.					Sold (part)	05/26/21	J	A	Stock Market
45.					Sold (part)	06/24/21	J	A	Stock Market
46.					Sold (part)	07/29/21	J	A	Stock Market
47.					Sold (part)	11/17/21	J	A	Stock Market
48.					Buy (add'l)	12/10/21	J		Stock Market
49. -Strategic Advisers International Fund	D	Dividend	L	T	Buy (add'l)	02/04/21	J		Stock Market
50.					Sold (part)	02/25/21	J	A	Stock Market
51.					Sold (part)	04/23/21	J	A	Stock Market

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (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	
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52.					Buy (add'l)	05/26/21	J		Stock Market
53.					Buy (add'l)	06/24/21	J		Stock Market
54.					Buy (add'l)	07/29/21	J		Stock Market
55.					Sold (part)	09/10/21	J	A	Stock Market
56.					Buy (add'l)	10/12/21	J		Stock Market
57.					Sold (part)	11/17/21	J	A	Stock Market
58.					Buy (add'l)	12/10/21	J		Stock Market
59. -AQR Managed Futures Fund CL N		None			Sold	01/22/21	J	A	Stock Market
60. -Cohen & Steers Realty Shares	A	Dividend	J	T	Sold (part)	02/25/21	J	A	Stock Market
61.					Sold (part)	04/23/21	J	A	Stock Market
62.					Sold (part)	07/29/21	J	A	Stock Market
63.					Sold (part)	12/10/21	J	A	Stock Market
64. -Fidelity SAI Inflation Focus Fund	A	Dividend			Buy	01/22/21	J		Stock Market
65.					Buy (add'l)	02/25/21	J		Stock Market
66.					Buy (add'l)	04/23/21	J		Stock Market
67.					Sold (part)	07/29/21	J	A	Stock Market
68.					Sold (part)	09/10/21	J		Stock Market

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69.					Sold	10/12/21	J	A	Stock Market
70. Fidelity Total Bond "(H)"									See Part VIII. Explanation
71. -Strategic Advisers Short Duration Fund	A	Dividend	J	T	Buy	02/25/21	J		Stock Market
72.					Buy (add'l)	07/29/21	J		Stock Market
73.					Sold (part)	09/10/21	J		Stock Market
74.					Buy (add'l)	10/12/21	J		Stock Market
75.					Buy (add'l)	11/17/21	J		Stock Market
76. -Strategic Advisers Income Opportunities	B	Dividend	K	T	Buy (add'l)	02/04/21	J		Stock Market
77.					Buy (add'l)	04/23/21	J		Stock Market
78.					Sold (part)	05/26/21	J		Stock Market
79.					Sold (part)	06/24/21	J		Stock Market
80.					Sold (part)	07/29/21	J	A	Stock Market
81.					Sold (part)	09/10/21	J	A	Stock Market
82.					Sold (part)	10/12/21	J	A	Stock Market
83.					Sold (part)	11/17/21	J	A	Stock Market
84. -Strategic Advisers Core Income Fund	D	Dividend	M	T	Buy (add'l)	01/22/21	J		Stock Market
85.					Sold (part)	02/04/21	J		Stock Market

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	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	
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86.					Buy (add'l)	02/25/21	J		Stock Market
87.					Buy (add'l)	04/23/21	J		Stock Market
88.					Buy (add'l)	05/26/21	J		Stock Market
89.					Buy (add'l)	06/24/21	J		Stock Market
90.					Buy (add'l)	07/29/21	J		Stock Market
91.					Buy (add'l)	09/10/21	J		Stock Market
92.					Buy (add'l)	10/12/21	J		Stock Market
93.					Buy (add'l)	11/17/21	J		Stock Market
94.					Sold (part)	12/10/21	J		Stock Market
95.	-Eaton Vance GL Macro Absolute RTRN ADV A	A	Dividend	J	T	Buy (add'l)	01/21/21	J	Stock Market
96.					Sold (part)	02/04/21	J	A	Stock Market
97.					Buy (add'l)	02/25/21	J		Stock Market
98.					Sold (part)	10/12/21	J	A	Stock Market
99.	-Fidelity SAI Treasury Bond Index	A	Dividend			Buy	02/25/21	J	Stock Market
100.						Sold	10/12/21	J	Stock Market
101.	-Fidelity SAI Long Term Treasury Bond Index	A	Dividend	J	T	Buy	10/12/21	J	Stock Market
102.	Fidelity Government Cash Reserves	A	Dividend	J	T	Buy (add'l)	01/22/21	J	Stock Market

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2 Value Codes (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	
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103.					Sold (part)	02/04/21	J		Stock Market
104.					Sold (part)	02/25/21	J		Stock Market
105.					Sold (part)	02/26/21	J		Stock Market
106.					Sold (part)	04/23/21	J		Stock Market
107.					Sold (part)	05/14/21	J		Stock Market
108.					Buy (add'l)	05/26/21	J		Stock Market
109.					Buy (add'l)	06/24/21	J		Stock Market
110.					Buy (add'l)	07/29/21	J		Stock Market
111.					Sold (part)	08/13/21	J		Stock Market
112.					Buy (add'l)	09/10/21	J		Stock Market
113.					Sold (part)	10/12/21	J		Stock Market
114.					Sold (part)	11/12/21	J		Stock Market
115.					Buy (add'l)	11/17/21	J		Stock Market
116.					Sold (part)	12/10/21	J		Stock Market
117. Fidelity Deferred Annuity Account		None	N	T					
118. Fidelity Rollover IRA "Cash Account"	A	Interest	J	T					
119. Altria Deferred Profit Sharing Plan for Salaried Employees 401(K) Fund	A	Dividend	J	T	Open	11/17/21	J		See Part VIII. Explanation

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Gregory, Roger L.	05/12/2022

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

VII. INVESTMENTS AND TRUSTS

Line 4: Prudential Insurance Variable Annuity. No information is reported on Line 4 because I report all income and values for the sub-Funds of the Prudential Insurance Variable Annuity on Lines 5 through 7.

Line 18: Fidelity Management Trust Co. - IRA. No information is reported on Line 18 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 19 through 69.

Line 70: Fidelity Total Bond. No information is reported on Line 70 because I report all transactions, income, and values related to the Bond accounts under Fidelity Total Bond on Lines 71 through 101.

Line 119: Altria Deferred Profit Sharing Plan for Salaried Employees 401(K). On November 17, 2021, an additional amount of $7,824.05 was allocated to the Deferred Profit Sharing Salaried Plan account [redacted]. As beneficiary of [redacted] Plan account, the funds were rolled into this 401(K) account. Fidelity Investments Institutional Operations Company, Inc. provides administrative recordkeeping services for the above referenced Plan. The funds are invested in Fidelity's US Large Equity Index.

Name of Person Reporting	Date of Report
Gregory, Roger L.	05/12/2022

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
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544