AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/15/2024
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	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
1000 East Main Street Suite 316 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. 2023	Survivor Income Pension - Altria Group, Inc.	$20,053.36
2. 11/13/2023	VA Law Foundation - VA CLE - Donation paid directly to 501(c)(3) charity - SEE ATTACHED LIST OF PAYMENT MADE BY SOURCE AND CONFIDENTIAL RECIPIENT.	$500.00
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. Nov - Dec	Eye Surgeons of Richmond, Inc.
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. American Bar Association (ABA)	02/03/2023 - 02/05/2023	New Orleans, LA	Recipient of ABA's Spirit of Excellence Award	Travel & Lodging
2. University of Virginia School of Law	02/06/2023 - 02/06/2023	Charlottesville, VA	Keynote Speaker	Travel
3. University of Michigan Law School	03/24/2023 - 03/26/2023	Ann Arbor, MI	Keynote Speaker	Lodging
4. 2023 Virginia State Bar (VSB) Annual Meeting	06/16/2023 - 06/17/2023	Virginia Beach, VA	CLE Speaker	Travel & Lodging

5.	The Civil Rights Law Institute	10/19/2023 - 10/19/2023	Charlottesville, VA	Keynote Speaker	Travel

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Gregory, Roger L.	05/15/2024

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 of 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. 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)	
1.	Truist Interest Checking	A	Interest	J	T					
2.	Wells Fargo Interest Checking	A	Interest	K	T					
3.	Truist 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	L	T					
9.	New York Life IRA - Fixed Annuity	A	Interest	J	T					
10.	RiverSource Life Insurance Company IRS Fixed	B	Interest	K	T					
11.	Peoples Bank	A	Interest	J	T					
12.	John Hancock Life Ins. - term & whole life policy	A	Dividend	M	T					
13.	New York Life Ins. Co. - term & whole life policy	B	Interest	J	T					
14.	Call Federal Credit Union		None	J	T					
15.	Truist Money Market Account	A	Interest	J	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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Gregory, Roger L.	05/15/2024

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. 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. TowneBank Checking	A	Interest	J	T					
19. Truist Checking Representative Account		None	J	T	Open	12/04/23	J		See Part VIII. Explanation
20. Fidelity Mgmt. Trust Co. - IRA "(H)"									See Part VIII. Explanation
21. -Fidelity Gov't Money Mkt.	A	Interest	J	T					
22. -Strategic Advisors Large Cap Fund	D	Dividend	M	T	Sold (part)	02/10/23	J	B	Stock Market
23.					Buy (add'l)	04/06/23	J		Stock Market
24.					Sold (part)	05/24/23	J	A	Stock Market
25.					Sold (part)	06/27/23	J	A	Stock Market
26.					Sold (part)	08/10/23	J	A	Stock Market
27.					Buy (add'l)	09/28/23	J		Stock Market
28.					Sold (part)	11/17/23	J	B	Stock Market
29. -Strategic Advisers Emerging Markets	A	Dividend	K	T	Sold (part)	01/11/23	J		Stock Market
30.					Buy (add'l)	02/10/23	J		Stock Market
31.					Sold (part)	05/24/23	J		Stock Market
32.					Buy (add'l)	08/10/23	J		Stock Market
33. -Strategic Advisers Small-Mid Cap Fund	A	Dividend	K	T	Sold (part)	01/11/23	J	A	Stock Market
34.					Sold (part)	01/11/23	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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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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 (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)	
35.					Sold (part)	02/10/23	J	A	Stock Market
36.					Sold (part)	04/06/23	J	A	Stock Market
37.					Sold (part)	05/24/23	J	A	Stock Market
38.					Buy (add'l)	08/10/23	J		Stock Market
39.					Buy (add'l)	09/28/23	J		Stock Market
40. -Strategic Advisers International fund	B	Dividend	L	T	Sold (part)	01/11/23	J		Stock Market
41.					Buy (add'l)	02/10/23	J		Stock Market
42.					Sold (part)	04/06/23	J		Stock Market
43.					Sold (part)	05/24/23	J	A	Stock Market
44.					Buy (add'l)	06/27/23	J		Stock Market
45.					Buy (add'l)	09/28/23	J		Stock Market
46.					Buy (add'l)	11/17/23	J		Stock Market
47. -Fidelity SAI Inflation Focused Fund	A	Dividend	J	T	Sold (part)	01/11/23	J		Stock Market
48.					Buy (add'l)	02/10/23	J		
49.					Sold (part)	09/28/23	J		
50. -Strategic Advisers Alternatives Fund	A	Dividend	J	T	Buy (add'l)	02/10/23	J		Stock Market
51.					Sold (part)	09/28/23	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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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52. Fidelity Total Bond "(H)"									See Part VIII. Explanation
53. -Strategic Advisers Short Duration Fund	A	Dividend	J	T	Buy (add'l)	04/06/23	J		Stock Market
54.					Buy (add'l)	08/10/23	J		Stock Market
55.					Sold (part)	09/28/23	J		Stock Market
56. -Strategic Advisers Income Opportunities	A	Dividend	J	T	Sold (part)	02/10/23	J	A	Stock Market
57.					Sold (part)	02/10/23	J		Stock Market
58. -Strategic Advisers Core Income Fund	D	Dividend	M	T	Buy (add'l)	01/11/23	J		Stock Market
59.					Buy (add'l)	02/10/23	J		Stock Market
60.					Sold (part)	04/06/23	J		Stock Market
61.					Buy (add'l)	05/24/23	J		Stock Market
62.					Buy (add'l)	06/27/23	J		Stock Market
63.					Sold (part)	08/10/23	J		Stock Market
64.					Sold (part)	09/28/23	J		Stock Market
65.					Buy (add'l)	11/17/23	J		Stock Market
66. -Fidelity SAI Long Term Treasury Bond Index	A	Dividend	J	T	Buy	09/28/23	J		Stock Market
67. Fidelity Government Cash Reserves	A	Dividend	K	T	Sold (part)	01/11/23	J		Stock Market
68.					Buy (add'l)	02/10/23	J		Stock Market

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69.					Sold (part)	02/17/23	J		Stock Market
70.					Buy (add'l)	04/06/23	J		Stock Market
71.					Buy (add'l)	05/10/23	J		Stock Market
72.					Sold (part)	05/19/23	J		Stock Market
73.					Buy (add'l)	05/24/23	K		Stock Market
74.					Buy (add'l)	06/27/23	K		Stock Market
75.					Sold (part)	08/10/23	K		Stock Market
76.					Sold (part)	08/25/23	K		Stock Market
77.					Buy (add'l)	09/28/23	K		Stock Market
78.					Sold (part)	11/17/23	K		Stock Market
79.					Buy (add'l)	11/17/23	K		Stock Market
80.					Buy (add'l)	11/21/23	K		Stock Market
81.	Fidelity Defered Annuity Account		None	N	T				
82.	Fidelity Rollover IRS "Cash Account"	A	Interest	J	T				
83.	Altria Deferred Profit Sharing Plan for Salaried Employees 401(K) Fund	B	Dividend	J	T				

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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; 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

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 19: I am the representative on [redacted] checking account.

Line 20: Fidelity Management Trust Co. - IRA. No information is reported on Line 20 because I report all transactions, income, and values related to stocks and mutual funds managed by Fidelity Management Trust Company on Lines 21 through 51.

Line 52: Fidelity Total Bond. No information is reported on Line 52 because I report all transactions, income, and values related to the Bond accounts under Fidelity Total Bond on Lines 53 through 66.

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
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Washington, D.C. 20544