AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Rushing, Allison J.	U.S. Court of Appeals for the Fourth Circuit	07/25/2023
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**
U.S. Court of Appeals Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
7. Chambers or Office Address		
100 Otis Street Asheville, NC 28801		

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.		
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.	2017	Williams & Connolly defined benefit plan - the law firm ceased making contributions to the plan after my separation in 2019
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.			
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.	American Academy of Appellate Lawyers	November 6-7, 2022	Washington, D.C.	AAAL Fall Meeting, Judges' Panel Presentation	Hotel
2.					
3.					
4.					
5.					

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.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Rushing, Allison J.	07/25/2023

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. Navy Federal Credit Union cash accounts	A	Interest	L	T					
2. Investment Account (H)									
3. -Morgan Stanley Bank NA	A	Interest	J	T					
4. -Morgan Stanley Bank NA Preferred Savings	B	Interest	M	T	Buy	08/04/22	M		
5.					Buy (add'l)	09/01/22	J		
6.					Buy (add'l)	10/03/22	J		
7. -Vanguard REIT Index Admiral	A	Dividend	J	T					
8. -Vanguard Mid-Cap ETF Index	B	Dividend	L	T	Buy (add'l)	02/24/22	J		
9. -IShares Barclays 1-3 Yr Treas Bnd		None	L	T	Buy	12/22/22	L		
10. -IShares Global 100 ETF	B	Dividend	M	T	Buy (add'l)	02/24/22	J		
11. -Pioneer Mlt Asset Ultra-short Inc Y	B	Dividend	K	T					
12. -Vanguard 500 Index Admiral	B	Dividend	M	T					
13. -SPDR S&P 500 ETF	C	Dividend	M	T					
14. -SPDR Bloomberg 1-3 Month T-B		None	L	T	Buy	12/22/22	L		
15. -Oakmark Equity & Income Inst	A	Dividend	K	T					
16. -Neuberger Berman EQ Inc Ins	A	Dividend	J	T					
17. -Thornburg Inv Inc Builder I	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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Rushing, Allison J.	07/25/2023

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. -AB Sel US Long/Short ADV	C	Distribution			Sold	12/20/22	L		
19. -ACAP Strategic Interval Common		None	K	T					
20. -American Funds 529 College 2036 A	C	Dividend	L	T	Buy (add'l)	02/01/22	J		
21.					Buy (add'l)	03/01/22	J		
22.					Buy (add'l)	04/01/22	J		
23.					Buy (add'l)	05/02/22	J		
24.					Buy (add'l)	06/01/22	J		
25.					Buy (add'l)	07/01/22	J		
26.					Buy (add'l)	08/01/22	J		
27.					Buy (add'l)	09/01/22	J		
28.					Buy (add'l)	10/03/22	J		
29.					Buy (add'l)	11/01/22	J		
30.					Buy (add'l)	12/01/22	J		
31. -American Funds 529 College 2036 C	B	Dividend	K	T	Buy (add'l)	01/03/22	J		
32. -Calamos Market Neutral Inc I	A	Dividend	L	T					
33. -Delaware Value Institutional	E	Dividend	M	T					
34. -Guggenheim Total Return Bond Fund I	B	Dividend	J	T	Sold (part)	12/20/22	K		

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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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35. -Invesco Developing Mkts Y		None			Sold	01/04/22	L	D	
36. -Lord Abbett Short Duration Inc F	A	Dividend			Sold	02/11/22	L		
37. -Lord Abbett Short Duration Inc I	B	Dividend			Buy	02/11/22	L		
38.					Sold (part)	03/29/22	J		
39.					Sold	12/20/22	K		
40. -Metropolitan West Total Return Bond I	A	Dividend			Sold	12/20/22	K		
41. -MSIF Emerging Mkts Leaders I		None			Buy	01/04/22	L		
42.					Sold	12/20/22	L		
43. -Oakmark International Inst	B	Dividend	L	T					
44. -Pimco Total Return 12	C	Dividend			Sold	12/20/22	K		
45. -Principal Blue Chip I	A	Distribution	L	T					
46. -T Rowe Price Japan Fund		None			Sold	01/04/22	K	D	
47. -Vanguard FTSE Developed Mkts E	B	Dividend	L	T					
48. -Vanguard Growth ETF	A	Dividend	L	T	Buy (add'l)	02/24/22	J		
49.					Sold (part)	12/20/22	J	A	
50. -Vanguard Short Term Gov Bond	A	Dividend	L	T	Buy	12/22/22	L		
51. -Vanguard Total Bond Market	A	Dividend	L	T	Buy	12/22/22	L		

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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)	
52. -Virtus Kar Small Mid Cap Core I		None			Sold	12/20/22	K		
53. -Guggenheim Macro Opport I	A	Dividend	J	T					
54. Fidelity AF Target Date 2055 R6 Fund	D	Dividend	M	T					
55. Fidelity 401(k) (H)									
56. -Dodge & Cox Stock	A	Dividend	J	T					
57. -TRP New Horizons I	A	Dividend	J	T					
58. -Vang Cap Opps ADM	A	Dividend	J	T					

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

Part VII, Line 55: Some assets within the Fidelity 401(k) (H) have fallen below the reportable threshold and have been removed.

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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/ Allison J. Rushing

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
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Washington, D.C. 20544