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
Rushing, Allison J.	U.S. 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**
U.S. Court of Appeals Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2023 **to** 12/31/2023
	5b. ☐ Amended Report	
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.	
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.	University of Virginia School of Law	November 9-10, 2023	Charlottesville, VA	Moot court	Lodging, food, transportation
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.	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)	
1. Navy Federal Credit Union cash accounts	A	Interest	K	T					
2. Investment Account (H)									
3. -Morgan Stanley Bank NA	A	Interest	J	T					
4. -Morgan Stanley Bank NA Preferred Savings	C	Interest			Buy (add'l)	01/03/23	J		
5.					Sold (part)	01/05/23	J		
6.					Buy (add'l)	04/28/23	J		
7.					Sold	06/23/23	M		
8. -Vanguard REIT Index Admiral	A	Dividend	K	T					
9. -Vanguard Mid-Cap ETF Index	B	Dividend	M	T					
10. -IShares Barclays 1-3 Yr Treas Bnd	B	Dividend	L	T					
11. -IShares Global 100 ETF	B	Dividend	M	T					
12. -Pioneer Mlt Asset Ultra-short Inc Y	C	Dividend			Sold	12/13/23	K		
13. -Vanguard 500 Index Admiral	B	Dividend	M	T					
14. -SPDR S&P 500 ETF	C	Dividend	M	T					
15. -SPDR Bloomberg 1-3 Month T-B	C	Dividend	L	T					
16. -Oakmark Equity & Income Inst	A	Dividend	K	T	Buy (add'l)	12/13/23	J		
17. -Neuberger Berman EQ Inc Ins	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.	05/15/2024

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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. -Thornburg Inv Inc Builder I	A	Dividend	J	T					
19. -ACAP Strategic Interval Common		None	L	T					
20. -American Funds 529 College 2036 A	B	Dividend	L	T	Buy (add'l)	01/03/23	J		
21.					Buy (add'l)	02/01/23	J		
22.					Buy (add'l)	03/01/23	J		
23.					Buy (add'l)	04/03/23	J		
24.					Buy (add'l)	05/01/23	J		
25.					Buy (add'l)	06/01/23	J		
26.					Buy (add'l)	07/01/23	J		
27.					Buy (add'l)	08/01/23	J		
28.					Buy (add'l)	09/01/23	J		
29.					Buy (add'l)	10/02/23	J		
30.					Buy (add'l)	11/01/23	J		
31.					Buy (add'l)	12/01/23	J		
32. -American Funds 529 College 2036 C	A	Dividend	K	T					
33. -Calamos Market Neutral Inc I	C	Dividend	L	T					
34. -Delaware Value Institutional	D	Dividend	L	T	Sold (part)	12/13/23	K		

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
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35. -Guggenheim Total Return Bond Fund I	A	Dividend	J	T					
36. -Lord Abbett Short Duration Inc I	A	Dividend							
37. -Metropolitan West Total Return Bond I	A	Dividend							
38. -Oakmark International Inst	B	Dividend	L	T	Buy (add'l)	12/13/23	J		
39. -Pimco Total Return 12	A	Dividend							
40. -Principal Blue Chip I		None	L	T					
41. -Vanguard FTSE Developed Mkts E	B	Dividend	L	T					
42. -Vanguard Growth ETF	A	Dividend	L	T					
43. -Vanguard Short Term Gov Bond	B	Dividend	L	T					
44. -Vanguard Total Bond Market	B	Dividend	L	T					
45. -Guggenheim Macro Opport I	A	Dividend	J	T					
46. -Federated Hrms Treasury Obl IS	A	Dividend			Buy	04/28/23	J		
47.					Sold	12/13/23	J		
48. -T Rowe Price Capital Appreciation Fund	C	Dividend	L	T	Buy	12/13/23	L		
49. -MSILF Prime PTF Institutional	D	Dividend	M	T	Buy	06/23/23	M		
50.					Buy (add'l)	06/26/23	J		
51.					Buy (add'l)	08/01/23	J		

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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 AF Target Date 2055 R6 Fund	C	Dividend	M	T					
53. Fidelity 401(k) (H)									
54. -Dodge & Cox Stock	A	Dividend	J	T					
55. -TRP New Horizons I	A	Dividend	J	T					
56. -Vang Cap Opps ADM	A	Dividend	J	T					

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

Part VII, Lines 36, 37, and 39: As reflected on the 2022 report, the entire position was sold on 12/20/22. A small residual dividend was paid on 01/03/23, which is the amount reflected on this report.

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