AO 10
Rev. 1/2019

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*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 |
|---|---|---|
| Thacker, Stephanie D. | U.S. Court of Appeals for the Fourth Circuit | 04/9/2024 |
| **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** |
| Active Circuit Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023<br>**to**<br>12/31/2023 |
| **7. Chambers or Office Address** | | |
| Robert C. Byrd United States Courthouse<br>300 Virginia Street, East<br>Room 7404<br>Charleston, West Virginia 25301 | | |

***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 pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## 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.)*

| | 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 AND TYPE |
|---|---|---|
| 1. | | |
| 2. | | |
| 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | Florida State University | October 3-4, 2023 | Tallahassee, Florida | Jurist-In-Residence | Compensation: lodging, airfare and some meals |
| 2. | Cornell School of Law | November 4, 2023 | Ithaca, New York | Judge, Moot Court Competition | Competition: lodging, mileage and some meals |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## 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. | Colonial Savings | [redacted] acres in Culloden, West Virginia | M |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Thacker, Stephanie D.** | 04/9/2024 |

## 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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) | (5) Identity of buyer/seller (if private transaction) |
| 1. Allspring Special Small Cap Value Fund EXPNX | A | Dividend | J | T | Buy (add'l) | 01/18/23 | J | | |
| 2. | | | | | Sold (part) | 07/20/23 | J | A | |
| 3. | | | | | Buy (add'l) | 10/18/23 | J | | |
| 4. American Century Ultra Fund DGCIX | A | Dividend | K | T | Buy | 07/20/23 | K | | |
| 5. Clearbridge Large Cap Fund SBLYX | A | Dividend | | | Buy (add'l) | 01/18/23 | J | | |
| 6. | | | | | Sold | 07/20/23 | L | D | |
| 7. Delaware Corporate Bond Fund DGCIX | B | Dividend | K | T | Buy (add'l) | 07/20/23 | J | | |
| 8. | | | | | Sold (part) | 10/18/23 | J | A | |
| 9. Diamond Hill Large Cap Fund DHLRX | A | Dividend | K | T | Sold (part) | 01/18/23 | J | A | |
| 10. | | | | | Buy (add'l) | 07/20/23 | J | | |
| 11. | | | | | Sold (part) | 10/18/23 | J | A | |
| 12. Edgewood Growth Fund EGFIX | A | Dividend | K | T | Sold (part) | 01/18/23 | J | A | |
| 13. | | | | | Sold (part) | 07/20/23 | K | C | |
| 14. | | | | | Buy (add'l) | 01/19/23 | J | | |
| 15. | | | | | Buy (add'l) | 10/18/23 | J | | |
| 16. Harding Loevner International Fund HLMIX | A | Dividend | K | T | Sold (part) | 01/18/23 | J | B | |
| 17. | | | | | Buy (add'l) | 07/20/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Thacker, Stephanie D.** | 04/9/2024 |

## 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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) | (5) Identity of buyer/seller (if private transaction) |
| 18. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 19. | Hartford Schroders Emerging Markets Fund SEMNX | A | Dividend | K | T | Sold (part) | 01/18/23 | J | A | |
| 20. | | | | | | Buy (add'l) | 07/20/23 | J | | |
| 21. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 22. | ML Bank Deposit Program | A | Dividend | J | T | | | | | |
| 23. | JP Morgan Equity Income Fund HLIEX | B | Dividend | L | T | Buy (add'l) | 01/18/23 | J | | |
| 24. | | | | | | Buy (add'l) | 07/20/23 | J | | |
| 25. | | | | | | Sold (part) | 10/18/23 | J | A | |
| 26. | JP Morgan Small Cap Fund OGGFX | A | Dividend | J | T | Buy (add'l) | 01/18/23 | J | | |
| 27. | | | | | | Sold (part) | 07/20/23 | J | A | |
| 28. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 29. | Loomis Sayles Growth Fund LSGRX | A | Dividend | K | T | Buy | 07/20/23 | J | | |
| 30. | | | | | | Sold (part) | 10/18/23 | J | A | |
| 31. | Pear Tree Fund QFVIX | A | Dividend | K | T | Sold (part) | 01/18/23 | J | A | |
| 32. | | | | | | Sold (part) | 07/20/23 | J | A | |
| 33. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 34. | Pimco International Bond Fund PFBPX | A | Dividend | J | T | Buy (add'l) | 01/18/23 | J | | |

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
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Q =Appraisal
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| **Thacker, Stephanie D.** | 04/9/2024 |

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| | A. Description of Assets (including trust assets) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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) | (5) Identity of buyer/seller (if private transaction) |
| 35. | | | | | | Buy (add'l) | 07/20/23 | J | | |
| 36. | | | | | | Sold (part) | 10/18/23 | J | A | |
| 37. | T-Rowe Price U.S. Treasury Fund PRTIX | B | Dividend | L | T | Buy (add'l) | 01/18/23 | J | | |
| 38. | | | | | | Buy (add'l) | 07/20/23 | J | | |
| 39. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 40. | TCW Total Return TGLMX | C | Dividend | L | T | Buy (add'l) | 01/18/23 | J | | |
| 41. | | | | | | Buy (add'l) | 07/20/23 | J | | |
| 42. | | | | | | Sold (part) | 10/18/23 | J | A | |
| 43. | Primco Long Term US Fund PLTPX | A | Dividend | J | T | Buy | 07/20/23 | J | | |
| 44. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 45. | BlackRock Equity Dividend MADVX | A | Dividend | J | T | Buy (add'l) | 01/19/23 | J | | |
| 46. | | | | | | Buy (add'l) | 07/19/23 | J | | |
| 47. | | | | | | Buy (add'l) | 10/18/23 | J | | |
| 48. | Delaware Small Cap Core Fund DCCIX | A | Dividend | J | T | Buy (add'l) | 10/18/23 | J | | |
| 49. | Doubleline Total Return DBLTX | A | Dividend | J | T | Buy (add'l) | 01/19/23 | J | | |
| 50. | | | | | | Buy (add'l) | 07/19/23 | J | | |
| 51. | | | | | | Buy (add'l) | 10/18/23 | J | | |

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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| 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) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 52. GS GQG Partners Fund GSIMX | A | Dividend | J | T | Sold (part) | 01/19/23 | J | A | |
| 53. | | | | | Sold (part) | 07/19/23 | J | A | |
| 54. | | | | | Sold (part) | 10/17/23 | J | A | |
| 55. IShare Russell 1000 Growth ETF IWF | A | Dividend | J | T | Sold (part) | 07/19/23 | J | A | |
| 56. IShare Russell 1000 ETF Value IWD | A | Dividend | J | T | Buy (add'l) | 01/19/23 | J | | |
| 57. | | | | | Sold (part) | 01/10/23 | J | A | |
| 58. IShares U.S. Treasury Bond GOVT | A | Dividend | J | T | Buy (add'l) | 01/19/23 | J | | |
| 59. | | | | | Sold (part) | 07/19/23 | J | A | |
| 60. | | | | | Sold (part) | 10/17/23 | J | A | |
| 61. IShares Inc Core MSCI IEMG | A | Dividend | J | T | Sold (part) | 01/10/23 | J | A | |
| 62. IShares TR Core MSCCI IDEV | A | Dividend | J | T | Buy | 01/19/23 | J | | |
| 63. IShares TR Core MSCI EAF ETF | A | Dividend | | | Sold | 01/10/23 | J | A | |
| 64. | | | | | Sold | 01/19/23 | J | A | |
| 65. MFS Value Fund MEIIX | A | Dividend | J | T | Buy (add'l) | 07/19/23 | J | | |
| 66. Oakmark International Fund DANIX | A | Dividend | J | T | Sold (part) | 01/10/23 | J | A | |
| 67. | | | | | Sold (part) | 07/19/23 | J | A | |
| 68. | | | | | Buy (add'l) | 10/18/23 | J | | |

1. Income Gain Codes: (See Columns B1 and D4)
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| **Thacker, Stephanie D.** | 04/9/2024 |

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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) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 69. Pimco Investment Grade Bond Fund | A | Dividend | J | T | Sold (part) | 01/19/23 | J | A | |
| 70. | | | | | Buy (add'l) | 07/19/23 | J | | |
| 71. | | | | | Buy (add'l) | 10/18/23 | J | | |
| 72. Vanguard Intermediate Term Fund VCIT | A | Dividend | J | T | Sold (part) | 01/10/23 | J | A | |
| 73. | | | | | Sold (part) | 10/19/23 | J | A | |
| 74. Vanguard Long Term Fund VGLT | A | Dividend | J | T | Buy | 07/19/23 | J | | |
| 75. Vanguard Mortgage Backed Fund VMBS | A | Dividend | J | T | Sold (part) | 07/19/23 | J | A | |
| 76. Vanguard Russell 1000 ETF VONG | A | Dividend | J | T | Sold (part) | 07/19/23 | J | A | |
| 77. Vanguard Total International Fund BNDX | A | Dividend | J | T | Buy (add'l) | 01/19/23 | J | | |
| 78. | | | | | Buy (add'l) | 07/19/23 | J | | |
| 79. Ishares High Yield | A | Dividend | | | Sold | 01/19/23 | J | A | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 |
|---|---|
| **Thacker, Stephanie D.** | 04/9/2024 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Thacker, Stephanie D.** | 04/9/2024 |

## 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/ Stephanie D. Thacker**

**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