FINANCIAL DISCLOSURE REPORT AO JO in Government Act of 1978 Rev. 112012 FOR CALENDAR YEAR 2011 (5 U.S.C. app. § § 101-111)

- I. Person Reporting (last name, first, middle initial) Agee, George S. 2. Court or Organization 4th Circuit 3. Date of Report 04/24/2012
- 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full-or part-time) Acl!ve Circuit Judge Sa. Report Type (check appropriate type) D Nomination Date D lmtJal [Z] Annual Sb. D Amended Report D Final 6. Reporting Period 01/01/2011 to 12/31/201 I
- 7. Chambers or Office Address

Fourth Circuit U.S. Court of Appeals 1100 E. Main Street Richmond, VA 23218

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. Insert signature on last page.

- I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)
  D NONE (No reportable positions.) POSITION NAME OF ORGANIZATION/ENTITY
- I. Trustee Trust #I
- Trustee Bridgewater College

3.

**Bradley Free Clinic** 

5

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.) [{] NONE (No reportable agreements.)

PARTIES AND TERMS

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3.

Page 2of12

III.

NON-INVESTMENT IN CO ME. (Reporting individual and spouse; see pp. 17-24 of filing instructions.)

A.

Filer's Non-Investment Income

D NONE (No reportable non-investment income.)

I.

2011 Commonwealth of Virginia -Retirement Income

SOURCE AND TYPE INCOME (yours, not spouse's) \$64,000.00

2.
3.
4.
B. Spouse's Non-Investment Income -If you were married during any portion of the reporting year, complete this section.  (Doffar amount not required except for honoraria.)
D NONE (No reportable non-investment income.) SOURCE AND TYPE I. 2011 Carilion Clinic -Salary 2. 2011 RGC Resources, IncDirector Fees
3.
4.
IV. REIMBURSEMENTS -transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. see pp. 25-27 of fi!mg mstructwns)
ZI NONE (No reportable reimbursements.)
3.
4.
5.
V. GIFTS. (Includes those lo spouse and dependent children; see pp. 28-31 of filing instructions.) [{] NONE (No reportable gifts.) SOURCE DESCRIPTION VALUE  [. 2.
3.
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
[.

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3.

5.

Page 4of12

VII.

INVESTMENTS and TRUSTS -income, value, transactions r1nc1udes those of spouse and dependent children; see PP· 34-60 of filing instructions.)

D NONE (No reportable income, assets, or transactions.)

A.

B.

c. D.

Description of Assets Income during Gross value at end Transactions dunng reporting period (including trust assets) reporting period of reporting period

(2) (2) (3) (4)

Place "(X)" after each asset Amount Type (e.g., Value Value Type(e.g., Date Value Gain Identity of exempt from prior disclosure Code I div., rent, Code 2 Method buy, sell, mrn/dd/yy Code 2 Code I buyer/seller (A-H) or int.) (J-P) Code 3 redemption) (J-P) (A-H) (if private

transaction)

I. Mainstreet Bankshares

I. Income Gain Codes A =\$1,000 or less B =\$1,00 I -\$2.500 c=\$2,501 • \$5,000 D =\$5.001 • \$15.000 E =\$15,001 • \$50,000 (See Columns Bl and D4) f =\$50.001 -\$] 00,000 G =\$100,001 -\$1.000.000 HI =\$1 .000,001 • \$5.000.000 H2=More than \$5,000.000 2.

Value Codes J=\$15.000 or less K=\$15,001 -\$50.000 t.=\$50.001. \$100.000 M =\$100.001 -\$250.000 (See Columns Cl and 03) N=\$250,00 I -\$500.000 0 =\$500,00 I • \$1,000.000 Pl =\$1,000.001 · \$5,000,000 l'2 =\$5.000,001 . \$25,000.000 P3 =\$25.000,001 -\$50.000.000 P4 =More than \$50.000.000

3.

Value Method Codes Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash Market (Sec Column C2) U = Book Value V = Other W = Estimated

FINANCIAL DISCLOSURE REPORT 04/24/2012 Agee, George S. Page 5of12

VII

INVESTMENTS and TRUSTS --income, value, transactions r1nc1udes those of spouse and dependent children; see PP· 14-60 of filing instructions.J

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1 Income Gain Codes: 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 (See Columns B1 and 04) f =\$50.001. \$100,000 G =\$100.001 • \$1.000.000 III =\$1.000.001 • \$5.000.000 li2 =More than \$5.000,000

2.

Value Codes J=\$15.000 or lcss K=\$15.001 • \$50.000 L=\$50.001 • \$100.000 M=\$100.001 •

\$250,000 (See Columns Cl and 03) N=\$250.00 I -\$500.000 0=\$500,00 I -\$1.000.000 Pl =\$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 R3

Value Method Codes Q=AppraJSal R =Cost (Real Estate Only) S =Assessment T=Cash Market (See Column C2) U=Book Value V =Other W =Estimated

FINANCIAL DISCLOSURE REPORT 04/24/2012 Agee, George S. Page 6of12

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INVESTMENTS and TRUSTS --income, vall1e. transactions r1nc111des those of spol1se and dependent children; see PP· 34-60 of filing instructions.)

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B. C. D.

Description of Assets Income during Gross value at end Transactions during reporting period (including trust assets) reporting period of reporting period

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(2)

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(2)

(4)

Place "(X)" after each asset exempt from prior disclosure Amount Code I (A-H) Type (e.g., d1v., rent, or mt.) Value Code2 (J-P) Value Method Code 3 (Q-W) Type(e.g., buy, sell, redemption) Date mm/dd/yy Value Code 2 {J-P}

Gain Code 1 (A-H) Identity of buyer/seller (if private transaction) FSBCX A Dividend K T Buy 11/15/11 K

36. Edward Jones Cash Account A Interest J T

1 Income Gam Codes A 41.000 or less B =\$1.001 -\$2.500 c =\$2.501 -\$5,000 D=\$5,001-\$15,000 E 415,001 \$50.000 (See Columns BI and D4) f=\$50.001 • \$100,000 G =\$100,001 -\$1.000,000 HI=\$1.000,001 -\$5,000.000 H2=More than \$5.000.000

2. Value Codes J 415.000 or less K = \$15.00 I - \$50.000 L 450.001 - \$100,000 M = \$100.00 I - \$250.000 (See Columns Cl and D3) N = \$250.00 I - \$500.000 0 = \$500,00 I - \$1,000.000 Pl = \$1.000.001 - \$5,000,000 P2 = \$5,000,001 - \$25,000.000 P3 = \$25.000.00 I - \$50,000,000 P4 = More than \$50,000,000 3 Value Method Codes Q=Apprmsal R = Cost (Real estate Only) S = Assessment T=Cash Market (Sec Column C2) U=Book Value V = Other W=Est1matcd

FINANCIAL DISCLOSURE REPORT 04/24/2012 Agee, George S. Page 7of12

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(5) Place "(X)" after each asset Amount Type (e.g., Value Value Type (e.g., Date Value Gain Identity of Code I exempt from prior disclosure div., rent, Code2 Method buy, sell, mm/dd/yy Code 2 Code l buyer/seller {A-H) or int.) Code 3 redemption) (J-P) (A-H) (if private (Q-W) transaction)

52.

-SAND P 500 INDEX FUND

53.

## -ACTIVE GLOBAL EQUITY FUND

I. Income Gam Codes· A =\$1.000 or less B 41,001 -\$2.500 c=\$2.501 -\$5,000 D =\$5.001 -\$15,000 E =\$15,001 -\$50.000 (See Columns B1 and 04) f=\$50.001 -\$100,000 G=\$100.001 -\$1.000,000 Iii =\$1.000,001 -\$5.000.000 li2=More than \$5,000,000

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FINANCIAL DISCLOSURE REPORT 04/24/2012 Agee, George S. Page 8of12

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(2) (1) (2) (1) (2) (3)

Amount Type (e.g., Value

Value Type (e.g., Date Value Gain Identity of exempt from prior disclosure

Place "(X)" after each asset

Code 1 div., rent, Code 2 Method buy, sell, mm/dd/yy Code2 Code I buyer/seller (A-H) or int.) (J-P) Code 3 redemption) (J-P) (A-H) (if private (Q-W) transaction)

69.

70.

-ANCFX -CAIBX

72.

-AMECX -AMCPX

73. - AGTHX

1.

Income Gain Codes. A =\$1.000 or less B =\$1,001 -\$2.500 c 42,501 -\$5,000 D =\$5.001 -\$15.000 E=\$!5,001 \$50,000 (See Columns B1 and D4) F=\$50.00J -\$100,000 G =\$100.001 -\$1.000.000 HI =\$1.000,001 -\$5,000.000 H2 =More than \$5,000.000

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Value Codes J=\$15,000 or less K =\$15,001 -\$50.000 L=\$50,00I -\$100.000 M =\$100.001 -\$250.000 (See Columns C1 and D3) N=\$250.00 I -\$500.000 0=\$500,00 I -\$1.000.000 PI =\$1.000,001 -\$5,000,000 P2 =\$5,000,001 -\$25,000.000

P3 =\$25.000.00 I -\$50.000.000 P4 =More than \$50.000.000 3 Value Method Codes Q=Apprmsal R =Cost (Real £:,state Only) S = Assessment T = Cash Market (See Column C2) U=Book Value V=Other W = Estnnated FINANCIAL DISCLOSURE REPORT 04/24/2012 Agee, George S. Page 9of12 VII. INVESTMENTS and TRUSTS \_\_ income, value, transactions (1nc1udes those of spouse and dependent children; see pp. 34-60 of filing instructions.) D NONE (No reportable income, assets, or transactions.) A. B. c. D Description of Assets Income during Gross value at end Transactions during reporting period (including trust assets) reporting period of reporting period (I) (2) {I) (2) (I) (2) (3) (5) Place "(X)" after each asset Amount Type (e.g., Value Value Type (e.g., Date Value Gain Identity of exempt from prior disclosure Code J div., rent, Code 2 Method buy, sell, mm/dd/yy Code 2 Code 1 buyer/seller (A-H) or int.) (J-P) Code3 redemption) (J-P) (A-H) (if private (Q-W) transaction) 86. 87. 88. RETIREMENT ACCOUNT #4 EQUIVEST None K T TSA 501(c)(3) PLAN 89. -DODGE & COX STOCK FUND Sold 10/02/11 L A -BLACK ROCK EQUITY DIVIDEND Buy 10/02/11 L -EQ GUARANTEED INTEREST 90. 91. -EQ INTERNATIONAL EQUITY INDEX (fonnerly EQ Alli. Bern Intl) -EQ ALLIANCE BERNSTEIN SmCpGR 92. -EQ MARKET PLUS MID CAP VALUE 93. -EQ BLACK ROCK BASIC 94. -Equitable Multimanager Core Bond

95.

96. 97. -Equitable Multimanager Multi Sector Bond \*2 RETIREMENT ACCOUNT #5 ALLIANCE BENEFIT GROUP CAP IT AL ACCU .AC -TWEAX None N T

98.

-CAAPX

99.

-FMCAX

100.

-FAERX Sold 03/31/ll J A IOI. -GABGX

102. -WEBAX

1.

Income Gam Codes· A =\$1.000 or less B =\$1,001 -\$2.500 c=\$2,50! -\$5,000 D =\$5,001 -\$15,000 E =\$15,001 -\$50.000

(Sec Columns B1 and 04) f=\$50.001 -\$100,000 G=\$100.001 -\$1,000,000 HI =\$1.000,001 -\$5.000.000 H2 =More than <math>\$5,000,000

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Page 10of12

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103.
GABAX
104.
GABEX Sold 03/31/11 K A
105.
PREIX
106.
FTCIMA
Income Gain Codes A =\$1,000 or Jess B =\$1,001 -\$2.500 c=\$2.501 -\$5,000 D =\$5.001 -\$15,000 E =\$15,001
2.
Value Codes J=\$15.000 or Jess K=\$15,00I -\$50.000 L =\$50.001 -\$100.000 M =\$100.001 -\$250.000 (See Column Cl and 03) N=\$250,00 I -\$500.000 0=\$500,001 -\$1,000.000 Pl =\$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 Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash Market (See Column C2) U = Book Value V = Other W = Est1matcd
• Name of Person Reporting 0412412012 Page 11of12 VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. (Indicate part of report.)  1.
No income from Trust # 1 comes to me as Trustee and is solely for the benefit of a third party. I receive no compensation from the Trust.
2.
Part VII, Item 118. The Highlands Portfolio of the 529 Virginia College Savings Plan was merged into the Piedmont Portfolio.
3.

Part VII, Item 112.1 previously reported this policy as a traditional cash value policy, but have verified it is a variable life policy so the insured controls the investment options which are now listed.

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/ George S. Agee 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