

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Agee, George S.	2. Court or Organization 4th Circuit	3. Date of Report 05/03/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. <input type="checkbox"/> Amended Report	
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.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Life Trustee	Bridgewater College
2. Director	Roanoke Equity Group, LLC
3. Trustee	Trust #1
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	Commonwealth of Virginia-Retirement Income	\$75,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Carilion Clinic-Salary
2. 2020	RGC Resources, Inc. - Director Fees
3. 2020	American National Bank (formerly Hometown Bank) - Director Fees
4. 2020	Health Care Realty Trust Incorporated - Director Fees
5. 2020	Change Healthcare - Consultant Fees

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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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.		
2.		
3.		
4.		
5.		

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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) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (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)

1. AMNB	D	Dividend	N	T					
2. SUWI, LLC - (H)									
3. -Rental Property #1 Roanoke, VA	C	Distribution	L	W					
4. Healthcare Realty Trust, Inc.	C	Dividend	M	T					
5. Agee Mill, LLC	A	Distribution	L	W					
6. RGC Resources, Inc.	D	Dividend	O	T					
7. NEWFX	A	Dividend			Sold	06/10/20	J	A	
8. Edward Jones Cash Account	A	Interest	J	T					
9. RCC Equity Group, LLC		None	K	U					
10. IRA #1 - (H)									
11. -IGAAX	A	Dividend	J	T					
12. -ANWPX	A	Dividend	J	T					
13. -CWGIX	A	Dividend	J	T					
14. -AMRMX	A	Dividend	K	T					
15. -ANCFX	A	Dividend	K	T					
16. -CAIBX	A	Dividend	K	T					
17. -AMECX	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 R =Cost (Real Estate Only) V =Other	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000 S =Assessment W =Estimated	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000 T =Cash Market	E =\$15,001 - \$50,000
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18. -AMCPX	A	Dividend	K	T					
19. -AGTHX	A	Dividend	K	T					
20. -NEWFX	A	Dividend	J	T					
21. Retirement Account #1 Virginia Deferred Compensation Plan - (H)									
22. -VRS Stock Fund	C	Dividend	N	T					
23. -Stable Value Fund	A	Dividend	L	T					
24. -VRS Int'l Stock Fund	C	Dividend	L	T					
25. -VRS Small/Mid Cap Stock Fund	B	Dividend	K	T					
26. IRA #2 - (H)									
27. -IGAAX	A	Dividend	J	T					
28. -ANWPX	A	Dividend	J	T					
29. -CWGIX	A	Dividend	J	T					
30. -AMRMX	A	Dividend	J	T					
31. -ANCFX	A	Dividend	J	T					
32. -CAIBX	A	Dividend	J	T					
33. -AMECX	A	Dividend	K	T					
34. -AMCPX	A	Dividend	J	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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35. -AGTHX	A	Dividend	J	T					
36. -NEWFX	A	Dividend	J	T					
37. Retirement Account #2 Carilion Health System Sec 403(b) Plan - (H)									
38. -Prudential Guaranteed Income Fund 28	A	Interest			Sold	06/30/20	J	A	
39. -Metropolitan West Total Return Bond Plan	C	Dividend	J	T	Sold (part)	06/30/20	M	C	
40. -American Funds Euro Pacific Growth	A	Dividend			Sold	06/30/20	J	A	
41. -JP Morgan Mid Cap Value	C	Dividend	J	T	Sold (part)	06/30/20	M	D	
42. -Loomis Soyles Small Cap Growth Inst(formerly Prud. Jenn. Sm Co A*1)	C	Dividend	J	T	Sold (part)	06/30/20	M	D	
43. Mass Mut Sel Mid-Cap Growth Cl I	A	Dividend			Sold	06/30/20	J	A	
44. -Vanguard Instl Index I	D	Dividend			Sold	06/30/20	O	B	
45. Retirement Acct #3 Carilion Health System Sec 457(b) Plan - (H)									
46. -Metropolitan West Total Return Bond Plan	B	Dividend	L	T					
47. -J Hancock Disciplined Value R6	D	Dividend	M	T					
48. -Vanguard Instl I	D	Dividend	M	T					
49. Retirement Acct #4 Equivest TSA 501(c)(3) Plan - (H)									
50. -EQ Guaranteed Interest	A	Dividend	J	T					
51. -EQ International Equity Index	A	Dividend	J	T					

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52. -EQ/AB Small Cap Growth	A	Dividend	J	T					
53. -EQ/MidCap VAL managed Vol	A	Dividend	J	T					
54. -EQ Black Rock Basic	B	Dividend	K	T					
55. -Equitable Multimanager Core Bond	A	Dividend	J	T					
56. -Equitable Core Plus Bond (formerly Charter Multi Sector Bond)	A	Dividend	J	T					
57. Retirement Acct #5 Alliance Benefit Group Capital ACCU.AC - (H)									
58. -FAIGX	A	Dividend			Sold	01/30/20	M	B	
59. -VFIAX	A	Dividend			Sold	01/30/20	M	B	
60. Life Insurance Policy #1 Natl Life Ins Co Whole Life	C	Dividend	M	T					
61. Life Insurance Policy #2 Equitable Variable Life - (H)									
62. -EQ/Moderate Allocation	A	Dividend	J	T					
63. -EQ/Common Stock Index	A	Dividend	K	T					
64. -Multimanager, Aggressive Equity	A	Dividend	J	T					
65. Fed Govt OBLIG Fund #395	A	Interest	J	T					
66. OWLSX	E	Dividend	P1	T					
67. OWSMX	E	Dividend	N	T					
68. OWACX	E	Dividend	N	T					

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69. OWCIX (formerly OWMAX)	D	Dividend	N	T					
70. OWMBX	D	Interest	O	T					
71. BOTJ	A	Dividend	K	T					
72. IVV	A	Dividend	L	T					
73. ABTYX	A	Dividend	J	T					
74. FWGIX	A	Dividend	K	T					
75. DODGX	A	Dividend			Sold	06/10/20	K	A	
76. FUNFX	A	Dividend	K	T					
77. GAFFX	A	Dividend	K	T					
78. HGIFX	A	Dividend	J	T					
79. FIFAX	A	Dividend	J	T					
80. JGRSX	A	Dividend			Sold	06/10/20	J	A	
81. JPPEX	A	Dividend	J	T					
82. MPVOX	A	Dividend	J	T					
83. MPMNX	A	Dividend	J	T					
84. MFEKX	A	Dividend	K	T					
85. FNPFX	A	Dividend	K	T					

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86. FNWFX	A	Dividend	K	T					
87. TBCIX	A	Dividend	K	T					
88. LTMIX	A	Dividend			Sold	12/16/20	J	A	
89. IEFA (incorrectly listed on 2019 report as EFA)	A	Dividend	K	T					
90. TIP	A	Dividend	J	T					
91. IUSG	A	Dividend	K	T					
92. VO	A	Dividend	K	T					
93. VB	A	Dividend	J	T					
94. IUSV	A	Dividend	J	T					
95. IBMI	A	Dividend			Redeemed	09/04/20	J	A	
96. IWR	A	Dividend	J	T					
97. CFIHX	A	Dividend	J	T					
98. TFEBX	A	Dividend	J	T					
99. FITQX	A	Dividend	J	T					
100. Retirement Acct #6 SEP (H)									
101. -IEMG	A	Dividend	J	T					
102. -IJR	A	Dividend	J	T					

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103. -IVV	A	Dividend	J	T					
104. -ISTB	A	Dividend	J	T					
105. -VEU	A	Dividend	J	T					
106. -VO	A	Dividend	J	T					
107. -FEUPX	A	Dividend	J	T					
108. -FNWFX	A	Dividend	J	T					
109. -BAGIX	A	Dividend	J	T					
110. -MFEKX	A	Dividend	J	T					
111. -MITJX	A	Dividend	J	T					
112. -PHYQX	A	Dividend	J	T					
113. -TRGXX	A	Dividend	J	T					
114. Trust #1 ((H)(X))									
115. -WFCPRV	A	Dividend			Sold	02/20/20	K		
116. -REET	A	Dividend			Sold	02/20/20	J		
117. -CWBFX	A	Dividend			Sold	02/20/20	J		
118. -DISYX	A	Dividend			Sold	02/20/20	J		
119. -DFEVX	A	Dividend			Sold	02/20/20	J		

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120. -DODIX	A	Dividend			Sold	02/20/20	J		
121. -DODFX	A	Dividend			Sold	02/20/20	J		
122. -EVIBX	A	Dividend			Sold	02/20/20	J		
123. -FIHLX	A	Dividend			Sold	02/20/20	J		
124. -HDGFX	A	Dividend			Sold	02/20/20	J		
125. -JVAAX	A	Dividend			Sold	02/20/20	J		
126. -MEIKX	A	Dividend			Sold	02/20/20	J		
127. -PDGIX	A	Dividend			Sold	02/20/20	J		
128. -TIMUX	A	Dividend			Sold	02/20/20	J		
129. -AMNB Money Market	A	Interest	L	T	Buy	12/18/20	L		
130. ATFSX	A	Dividend	K	T	Buy	12/18/20	K		
131. IRA #3 - (H)									
132. -OWFIX	D	Interest	N	T	Buy	06/30/20	N		
133. -OWLSX	D	Dividend	N	T	Buy	06/30/20	N		
134. -OWSMX	D	Dividend	M	T	Buy	06/30/20	M		
135. -OWACX	D	Dividend	M	T	Buy	06/30/20	M		
136. -OWCIX	C	Dividend	L	T	Buy	06/30/20	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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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) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (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)
137. DISYX	A	Dividend			Buy	02/20/20	J		
138.					Sold	06/12/20	J	A	
139. CWBFX	A	Dividend			Buy	02/20/20	J		
140.					Sold	03/05/20	J	A	
141. DFSUX	A	Dividend			Buy	02/20/20	J		
142.					Sold	03/05/20	J	A	
143. DFEUX	A	Dividend			Buy	02/20/20	J		
144.					Sold	03/05/20	J	A	
145. DODFX	A	Dividend			Buy	02/20/20	J		
146.					Sold	06/12/20	J	A	
147. DODIX	A	Dividend			Buy	02/20/20	J		
148.					Sold	03/05/20	J	A	
149. EVIBX	A	Dividend			Buy	02/20/20	J		
150.					Sold	03/05/20	J	A	
151. FIHLX	A	Dividend			Buy	02/20/20	J		
152.					Sold	03/05/20	J	A	
153. HDGFX	A	Dividend			Buy	02/20/20	J		

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 D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (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)
154.					Sold	06/12/20	J	A	
155. JUAAX	A	Dividend			Buy	02/20/20	J		
156.					Sold	03/05/20	J	A	
157. MEIKX	A	Dividend	J	T	Buy	02/20/20	J		
158. PDGIX	A	Dividend	J	T	Buy	02/20/20	J		
159. TIMUX	A	Dividend			Buy	02/20/20	J		
160.					Sold	06/12/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

The Trust assets are listed under Trust #1, Items 115-129.

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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. § 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
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