

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Swank, Kimberly A.	2. Court or Organization US District Court, Eastern District of North Carolina	3. Date of Report 08/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge - Part-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address US Courthouse Annex 215 South Evans Street Greenville, NC 27858		
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. Committee Member	
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.	

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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.)*

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. 2015

Vidant Medical Center

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.

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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		Tuition	None
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) 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. State Employees' Credit Union Accounts	A	Int./Div.	K	T					
2. PNC Bank account	A	Interest	J	T					
3. Rental Property, Greenville NC (2012 \$280,000)		None	N	R					
4. Brokerage Acct #1 (IRA) (H)									
5. --AFS Intl Growth		None			Sold	02/26/15	J	A	
6. --Alger Sm/Mid Cap Growth		None			Sold	02/26/15	J	C	
7. --Delaware Select Growth Fund		None			Sold	02/26/15	J	C	
8. --Goldman Sachs Comm Strat		None			Sold	02/26/15	J		
9. --Harbor Capital Appreciation Fund Instl		None			Sold	02/24/15	J	D	
10. --Harbor Int'l Fund Instl		None			Sold	02/24/15	J	B	
11. --Hotchkis & Wiley Mid Cap Val		None			Sold	02/26/15	J	C	
12. --Invesco Growth & Income		None			Sold	02/26/15	J	C	
13. --John Hancock Classic Value		None			Sold	02/26/15	J	C	
14. --John Hancock Disciplined Value Mid Cap		None			Sold	02/26/15	J	B	
15. --JP Morgan Fed Money Mkt	A	Int./Div.			Closed	02/24/15	J		
16. --Lazard Dev Mkts Eqty		None			Sold	02/24/15	J		
17. --MainStay Cornerstone Growth		None			Sold	02/24/15	J	B	

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$250,001 - \$500,000
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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☐ 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) Amount Code I (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. --MainStay ICAP Int'l I		None			Sold	02/24/15	J	B	
19. --Morgan Stanley Glob Real Est		None			Sold	02/24/15	J	A	
20. --Oppenheimer Int'l Growth (OIGYX)	A	Dividend			Sold	05/26/15	J	C	
21. --Oppenheimer Mainstreet		None			Sold	02/26/15	J	A	
22. --Rainier Mid Cap Equity		None			Sold	02/26/15	J	C	
23. --Sentinel Funds Common Stock		None			Sold	02/26/15	J	B	
24. --T Rowe Price Int'l Stock		None			Sold	02/24/15	J	B	
25. --Victory Integrated (formerly --Munder Veracity Sm Cap Val)		None			Sold	02/24/15	J	B	
26. --Aberdeen Div Alts (GASAX)	A	Dividend	J	T	Buy	02/24/15	J		
27. --AMG GW&K Small Cap Core (GWETX)		None			Buy	02/26/15	J		
28.					Sold	05/26/15	J	A	
29. --Boston Partners Small Cap Val (BPSIX)	A	Dividend	J	T	Buy	02/24/15	J		
30. --Clearbridge Aggressive (SAGYX)	A	Dividend	J	T	Buy	05/21/15	J		
31. --Delaware US Growth (DEUIX)		None			Buy	02/26/15	J		
32.					Sold	05/26/15	J	A	
33. --Hartford Core Equity (HGIIX)	A	Dividend	J	T	Buy	05/26/15	J		
34. --Invesco Sm Cap Growth (GTSYX)	A	Dividend	J	T	Buy	05/26/15	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	
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	(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. --John Hancock Bond Fund (JHBIX)	A	Dividend	J	T	Buy	05/26/15	J		
36. --John Hancock Intl Growth (GOGIX)	A	Dividend	J	T	Buy	05/26/15	J		
37. --JP Morgan Equity Inc. (HLIEX)	A	Dividend	J	T	Buy	02/24/15	J		
38. --MFS Intl Val (MINIX)	A	Dividend	J	T	Buy	02/26/15	J		
39. --MFS Mid Cap Val (MCVIX)	A	Dividend	J	T	Buy	02/26/15	J		
40.					Sold (part)	05/26/15	J	A	
41. --Oakmark Fund (OAKMX)		None			Buy	02/24/15	J		
42.					Sold	05/21/15	J	A	
43. --Oppenheimer Dev Mkts (ODVYX)	A	Dividend	J	T	Buy	02/26/15	J		
44. --PIMCO Inc Fund (PONPX)	A	Dividend			Buy	02/24/15	J		
45.					Sold	05/21/15	J	A	
46. --Pioneer Bond Fund (PICYX)	A	Dividend	J	T	Buy	02/26/15	J		
47. --Principal Mid Cap (PMCPX)	A	Dividend	J	T	Buy	02/26/15	J		
48.					Sold (part)	05/26/15	J		
49. --RJ Bank Dep Program Sweep	A	Int./Div.	J	T	Open	02/19/15	J		
50. --Templeton Global Bnd (TGBAX)	A	Dividend			Buy	02/26/15	J		
51.					Sold	05/26/15	J	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. --Third Ave R/E Val (TAREX)	A	Dividend	J	T	Buy	02/26/15	J		
53. --Western Asset Mtg Backed Sec (SGSYX)	A	Dividend	J	T	Buy	05/21/15	J		
54. VOYA Index Plus Lg Cap		None	K	T					
55. Investment Co of America Fund Class A	B	Dividend	J	T					
56. Brokerage Acct #2 (H)									
57. --Fidelity Balanced Fund	E	Dividend	M	T					
58. --Invesco Comstock Fund Class A	C	Dividend	K	T					
59. --Touchstone MidCap Value Instl Class	A	Dividend	J	T					
60. -- T Rowe Price Blue Chip Growth Fund	B	Dividend	K	T					
61. Brokerage Acct #3 (H)									
62. --ABBV	A	Dividend	J	T					
63. --ABT	A	Dividend	J	T					
64. --CSCO	A	Dividend	J	T					
65. --D	A	Dividend	J	T					
66. --HSP	A	Dividend			Sold	09/30/15	J	B	
67. --MSFT	A	Dividend	J	T					
68. --Janus Enterprise Fund JAENX	A	Dividend	J	T					

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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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69. --Vanguard 500 Index Fund VFINX	A	Dividend	K	T					
70. --Touchstone Strategic Tr Focused Fund TFFYX	A	Dividend	J	T					
71. --JP Morgan Tr II Liquid Assets Money Mkt JLEXX	A	Dividend			Closed	12/04/15	J		
72. --Ext Ins Sweep Dep Acct	A	Dividend	J	T	Open	12/04/15	J		
73. Equitable Variable Life	A	Interest	J	T					
74. NC 529 Plans, Growth Portfolio & Mod Growth Portfolio		None	L	T					
75.									
76.									
77.									
78.									
79.									
80.									
81.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Kimberly A. Swank

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
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Washington, D.C. 20544