

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) CAYER, DAVID S.	2. Court or Organization DISTRICT COURT - WDNC	3. Date of Report 10/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE (FT)	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 RM. 168 401 W. TRADE ST. CHARLOTTE, NC 28202		
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.		
2.		
3.		
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.	2015	N.C. CONSOLIDATED JUDICIAL RETIRMENT SYSTEM, NO CONTROL
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. 2015	CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT	\$66,800.00
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.)*

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. LIBERTY UNIVERSITY	MARCH 20-22, 2015	LYNCHBURG, VA	MOOT COURT	TRAVEL AND LODGING
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.		
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. ETR:FME	A	Dividend	K	T					
2. NYSE:VZ	B	Dividend	K	T					
3. NYSE:SEE	A	Dividend	K	T					
4. NYSE:WMT	A	Dividend	J	T					
5. FIFTH THIRD - Savings	A	Interest	J	T					
6. TRUST #1	C	Int./Div.	N	T					
7. -WELLS FARGO DEPOST ACCT									
8. -NUVEEN HIGH YIELD MUNI BOND					Buy (add'l)	04/22/15	J		
9.					Sold (part)	11/12/15	J		
10. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND					Sold (part)	01/22/15	J	A	
11.					Buy (add'l)	06/11/15	J		
12.					Buy (add'l)	09/01/15	J		
13.					Buy (add'l)	11/12/15	J		
14. -NUVEEN NC MUNI BOND					Buy (add'l)	01/26/15	J		
15.					Buy (add'l)	04/22/15	J		
16.					Buy (add'l)	06/11/15	J		
17.					Buy (add'l)	09/01/15	J		

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 M ~\$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,000,001 - \$500,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000,000		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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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)

18.					Buy (add'l)	11/12/15	J		
19. -DREYFUS EMERGING MARKETS DEBT LOCAL CURRENCY					Buy (add'l)	01/26/15	J		
20.					Sold (part)	04/22/15	J		
21.					Buy (add'l)	09/02/15	J		
22.					Sold (part)	11/23/15	J		
23.					Sold	12/07/15	J		
24. -FIDELITY ADVISORS EMERGING MARKETS					Buy (add'l)	01/26/15	J		
25.					Buy (add'l)	04/22/15	J		
26.					Buy (add'l)	11/12/15	J		
27.					Buy (add'l)	11/23/15	J		
28.					Buy (add'l)	12/07/15	J		
29. -PIMCO FOREIGN BOND FUND					Sold	06/11/15	J		
30. -ARTISAN MID CAP FUND CLASS INS.					Buy (add'l)	01/26/15	J		
31.					Buy (add'l)	09/01/15	J		
32.					Sold (part)	12/10/15	J		
33. -DIAMOND HILL LONG-SHORT FUND CLASS I					Sold	01/01/15	J		
34. -HARBOR CAPITAL APPRECIATION FUND					Buy (add'l)	01/26/15	J		

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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35.					Sold (part)	04/22/15	J	A	
36.					Buy (add'l)	09/01/15	J		
37.					Sold (part)	11/12/15	J	A	
38. -ISHARES CORE S&P 500 INDEX ETF					Sold (part)	01/26/15	J	A	
39.					Sold	09/01/15	J	B	
40. -JP MORGAN MID CAP VALUE FUND- CLASS I					Buy (add'l)	01/26/15	J		
41.					Buy (add'l)	09/01/15	J		
42. -KALMAR "GROWTH WITH VALUE" SMALL CAP CLASS					Sold	08/28/15	J	A	
43. -MFS VALUE FUND-CLASS I					Sold (part)	01/22/15	J		
44.					Buy (add'l)	04/22/15	J		
45.					Buy (add'l)	09/01/15	J		
46.					Sold (part)	11/12/15	J	A	
47. -ARTISAN INT'L FUND					Buy (add'l)	01/26/15	J		
48.					Buy (add'l)	09/01/15	J		
49.					Sold (part)	11/12/15	J		
50. -DODGE & COX INT'L STOCK					Buy (add'l)	01/26/15	J		
51.					Buy (add'l)	09/02/15	J		

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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. -OPPENHEIMER DEVELOPING MKT					Buy (add'l)	01/26/15	J		
53.					Buy (add'l)	04/22/15	J		
54.					Buy (add'l)	09/01/15	J		
55.					Sold (part)	11/12/15	J		
56.					Sold (part)	12/10/15	J		
57. -AQR MANAGED FUTURES STRATEGY FUND					Buy (add'l)	01/26/15	J		
58.					Sold (part)	11/12/15	J		
59. -ASG GLOBAL ALTERNATIVES FUND CLASS					Sold (part)	01/22/15	J		
60.					Buy (add'l)	09/01/15	J		
61.					Sold (part)	11/12/15	J		
62. -DRIEHAUS ACTIVE INCOME FUND					Sold (part)	01/22/15	J		
63.					Sold	11/12/15	J		
64. -MERGER FD SH BEN INT					Sold (part)	01/22/15	J		
65. -ROBECO BOSTON PARTNERS LONG/ SHORT					Sold	01/23/15	J	A	
66. -CREDIT SUISSE COMMODITY RETURN					Buy (add'l)	01/26/15	J		
67.					Buy (add'l)	04/22/15	J		
68.					Sold (part)	08/28/15	J		

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69.					Sold (part)	11/12/15	J		
70.					Sold (part)	12/10/15	J		
71. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE					Sold (part)	01/26/15	J	A	
72.					Buy (add'l)	04/24/15	J		
73.					Buy (add'l)	09/01/15	J		
74. -VANGUARD REIT VIPER					Sold (part)	01/26/15	J	A	
75.					Buy (add'l)	04/24/15	J		
76.					Buy (add'l)	09/01/15	J		
77. -BARCLAYS BANK PLC I PATH BLOOMBERG CO.					Sold	01/26/15	J		
78.					Buy	12/14/15	J		
79. -DREYFUS INT'L BOND FUND CLASS I					Sold	06/11/15	J		
80. -NEUBERGER BERMAN LONG SH-INS					Buy (add'l)	01/26/15	J		
81.					Buy (add'l)	09/01/15	J		
82. -PRINCIPAL GL MULT STRAT-INST					Sold	11/12/15	J	A	
83. -STERLING CAPITAL STRATTON SM- CP f.k.a. STRATTON SM-CAP VALUE FD					Buy (add'l)	01/26/15	J		
84.					Buy (add'l)	09/01/15	J		

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85.					Sold (part)	11/12/15	J		
86. -T ROWE PRICE INST. FLOAT					Buy (add'l)	01/26/15	J		
87.					Buy (add'l)	04/22/15	J		
88.					Sold (part)	11/12/15	J		
89. -AMERICAN CENTURY SMALL CAP GROWTH					Buy	09/01/15	J		
90. -BLACKROCK GLOBAL LONG/SHORT CREDIT FUND					Buy	11/12/15	J		
91. -BOSTON PARTNERS LONG/SHORT RESEARCH FUND					Buy	11/12/15	J		
92. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND					Buy	11/12/15	J		
93. -ISHARES MSCI EMERGING MARKETS					Buy	12/14/15	J		
94. -ISHARES RUSSELL MID-CAP ETF					Buy	12/14/15	J		
95. -T ROWE PRICE REAL ESTATE FUND					Buy	12/28/15	J		
96. IRA #1	C	Int./Div.	K	T					
97. -AMER BALANCED FD									
98. -INVESTMENT CO. AMERICA									
99. NYSE:XOM (Y)									
100. NASDAQ: FTR (Y)									
101. WELLS FARGO - Savings (Y)									

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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/ DAVID S. CAYER

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