

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Dever, James C.	2. Court or Organization U.S. District Court, EDNC	3. Date of Report 10/12/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge- Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. District Court 310 New Bern Ave. Raleigh, NC 27601		
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. Adjunct Law Professor	Campbell University, N.A. Wiggins School of Law
2. Senior Lecturing Fellow	Duke University School of Law
3. Board of Visitors	Duke University School of Law
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. 2017	Agreement to teach as an adjunct law professor at Campbell University
2. 2017	Agreement to teach as a senior lecturing fellow at Duke University
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. 2017	Campbell University (wages)	\$6,000.00
2. 2017	Duke University (wages)	\$10,000.00
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. 2017	Teacher, Our Lady of Lourdes Catholic School, Raleigh, North Carolina (wages)
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.)*

<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.)*

	<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. Northwestern Mutual Life Policy	A	Interest	K	T					
2. Northwestern Mutual Life Policy	A	Interest	K	T					
3.									
4. PNC Bank Account	A	Interest	K	T					
5. IRA (H)									
6. -Cash Deposit-- Northwestern Mutual Investment Services	A	Interest	J	T					
7.									
8. -DODFX (Dodge & Cox International Fund)	A	Int./Div.	J	T					
9. -FDAAX(Franklin Floating Rate Daily Access Fund Advisor Class)	A	Int./Div.	J	T	Buy	01/31/17	J		
10.									
11. -AMRFX(American Mutual Fund Class F-2)	A	Int./Div.	K	T	Buy	01/31/17	K		
12.					Sold (part)	05/04/17	J	A	
13. -VTAPX (Admiral Class)	A	Int./Div.	J	T	Buy	07/18/17	J		
14. -VICSX (Vanguard Intermed Term Corp Bond Index Fund Admiral Class)	A	Int./Div.	K	T	Buy	03/03/17	J		
15.					Buy (add'l)	05/11/17	J		
16. -IBAFX (International Bond Fund of America Class F-2)	A	Int./Div.	K	T	Buy	03/17/17	K		
17.									

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 (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	Q ~Appraisal (See Column C2)	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) 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. -NEFFX (The New Economy Fund Class F-2)	A	Int./Div.	J	T	Buy	05/04/17	J		
19. -BRK B (Berkshire Hathaway Inc. Del Cl B New Stock)	C	Int./Div.	K	T	Buy	07/17/17	K		
20. -GE (General Electric Co Stock)	A	Int./Div.	J	T	Buy	08/31/17	J		
21.					Buy (add'l)	11/20/17	J		
22. -VSMAX (Vanguard Small-Cap Index Fund Admiral)	C	Int./Div.	K	T	Buy (add'l)	05/15/17	J		
23.					Sold (part)	07/17/17	K	A	
24. -VIMAX (Vanguard Mid-Cap Fund Admiral)	D	Int./Div.	K	T					
25.									
26. -VTSAX (Vanguard Total Stock Market Index)	D	Int./Div.	K	T	Sold (part)	08/31/17	J	A	
27.									
28. -DODIX (Dodge & Cox Income Fund)	A	Int./Div.	K	T					
29. -VSIAX (Vanguard Small Cap Value Index Fund Admiral Class)	B	Int./Div.	K	T	Buy	07/07/17	K		
30. -VGSLX (Vanguard REIT Index Fund Admiral)	A	Int./Div.	J	T	Sold (part)	07/07/17	J	A	
31.					Sold (part)	11/14/17	J	A	
32. -DRGTX (Allianzgi Technology Fund)	A	Int./Div.			Sold	07/17/17	J	A	
33. -FSRIX (Fidelity Advisor Strategic Income)	A	Int./Div.			Sold (part)	02/01/17	J	A	
34.					Sold	05/05/17	K	A	

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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☐ 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)

35. -DODWX (Dodge & Cox Global Stock Fund)	A	Int./Div.	K	T					
36. -MALOX (Blackrock Global Allocation FD Inc. Inst. Class)	A	Int./Div.	J	T	Buy	05/15/17	J		
37.									
38. -FINFX (Fundamental Investor Class F-2)	A	Int./Div.			Sold	01/31/17	K	A	
39. -VWEAX (Vanguard High Yield Corporate Bond Fund)	A	Int./Div.			Sold	05/04/17	J	A	
40. -ABMIX(Aston Fairpointe Midcap Fund Class I)	B	Int./Div.	J	T					
41.									
42. -AMCFX (AMCAP Fund Class 2)	B	Int./Div.	K	T	Sold (part)	07/17/17	K	A	
43. -SMCFX (Small Cap World Fund Class F2)	B	Int./Div.	K	T					
44. -VFIDX (Vanguard Intermediate Term)	A	Int./Div.			Sold (part)	03/03/17	J	A	
45.					Buy (add'l)	05/04/17	J		
46. -GBLFX (American Fund Global Balanced Fund Class F-2)	A	Int./Div.	K	T	Buy	07/17/17	J		
47.									
48. -TTRZX (Templeton Global Return Fund)	A	Int./Div.	J	T					
49. -ABNFX (Bond Fund of America Class F-2)	A	Int./Div.			Sold	03/21/17	J		
50.									
51. -ANWFX (New Perspective Fund Class F-2)	C	Int./Div.	K	T	Sold (part)	11/14/17	J	A	

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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	(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)

52. -NFFFX (New World Fund Class F-2)	D	Int./Div.	K	T					
53. -VDADX (Vanguard Dividend Appreciation Index)	C	Int./Div.	K	T	Buy (add'l)	05/15/17	J		
54.									
55. -VSGAX (Vanguard Small Cap Growth Index Fund)	A	Int./Div.			Sold	07/18/17	J	A	
56. -VAIPX (Vanguard Inflation Protected Fund)	A	Int./Div.			Sold	07/18/17	J	A	
57. -VIGAX (Vanguard Growth Index Fund Admiral)	A	Int./Div.			Sold	05/15/17	J	A	
58. Roman Catholic Diocese of Raleigh 403(b) Ret Plan (H)(See part VII)									
59. -T Rowe Retirement I 2030 Fund	A	Int./Div.	J	T					
60. Duke Faculty and Staff 403(b) Ret Plan (H) (See Part VIII)									
61. - Vanguar Institution Target Retirement 2025 mutual fund 2025	A	Int./Div.	J	T					
62. Trust (H)									
63. -Wachovia (now Wells Fargo) checking acct.	A	Interest	J	T					
64. -Wachovia (now Wells Fargo) savings acct.	A	Interest	K	T					
65. -Kinecta Federal Savings & Loan checking acct.	A	Interest	L	T					
66. -Kinecta Federal Savings & Loan savings acct.	A	Interest	J	T					
67. -Kinecta Federal Savings and Loan Certificate of Deposit	A	Interest	M	T					
68. -New York Life whole life insurance policy	A	Interest	K	T					

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 \$5,000,000	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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☐ NONE (No reportable income, assets, or transactions.)

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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)
69. -New York Life family life insurance policy	A	Interest	J	T					
70. -New York Life variable annuity (H)(See part VII)									
71. Mainstay VP Janus HendersonBalanced Initial Class 159	A	Int./Div.	K	T					
72. -USAA whole life insurance policy	A	Interest	L	T					
73.									
74. -Comcast Corp Cl A stock	A	Dividend	K	T					
75. -General Electric Co stock	B	Dividend	L	T	Sold (part)	12/22/17	J	A	
76. -Twenty First Century Fox Class A stock	A	Dividend	K	T					
77. -Northrop Grumman Corp stock	C	Dividend	N	T					
78. -Raytheon Company New stock	D	Dividend	O	T					
79. -3M Company stock	B	Dividend	L	T					
80. -Wells Fargo checking	A	Interest	J	T					
81. -Fidelity US Treasury Money Mkt	A	Interest	M	T					
82. -Huntington Ingalls Indus stock	A	Dividend	K	T					
83. -Chevron Corp stock	D	Dividend	N	T					
84. -Fidelity Portfolio Advisory Service	D	Int./Div.	N	T					
85. -United Technologies Corp stock	A	Dividend	K	T	Buy (add'l)	01/10/17	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 \$5,000,000	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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	(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)
86. -Johnson and Johnson stock	B	Dividend	L	T					
87. -News Corp New Class A stock	A	Dividend	J	T					
88. -Morgan Stanley & Co. stock	A	Dividend	K	T					

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

1. The asset listed on line 58 was inadvertently omitted from prior reports. The money is 100% invested in a T Rowe Retirement 2035 Inv mutual fund.
2. The asset listed on line 60 was inadvertently omitted from prior reports. The money is 100% invested in a Vanguard Inst Target Retirement 2025 mutual fund.
3. The assets listed on lines 1, 2, 68, 69, and 72 paid up whole life policies. My insurance agent has informed me that there are no underlying investments for these paid up whole life policies.
4. The asset listed on line 71 is a New York Life variable annuity. The asset allocation is 100% invested in the Mainstay VP Janus HendersonBalanced - Initial Class - 159.

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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/ **James C. Dever**

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