

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) DIAZ, ALBERT	2. Court or Organization FOURTH CIRCUIT	3. Date of Report 08/09/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 227 West Trade St. Suite 1610 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. Board of Advisors	Marine Corps Coordinating Council of Greater Charlotte
2. Part-Time Instructor	University of North Carolina, Charlotte
3. Board of Advisors	ASPIRA NC
4. Member	Contracts Law Drafting Committee, National Conference of Bar Examiners
5. Board of Advisors	Wake Forest School of Law Journal of Law & Policy
6. Board of Advisors	George Mason University School of Law Judicial Education Program

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. 2006	Judicial Retirement Plan; receiving annual pension from the state of North Carolina for prior service as a state trial judge.
2. 2006	Medical Insurance Coverage; receiving health care coverage from the state of North Carolina for prior service as a state trial judge.
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. 2012	University of North Carolina Charlotte, teaching	\$7,680.00
2. 2012	Multistate Bar Exam Contracts Drafting Committee, National Conference of Bar Examiners, stipend	\$7,000.00
3. 2012	North Carolina Judicial Retirement	\$20,942.22
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. 2012	Carolinas HealthCare System, salary
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.	University of North Carolina School of Law	2/24/2012 to 2/25/2012	Chapel Hill, NC	Preside over Moot Court competition	Transportation, meals, hotel
2.	National Conference of Bar Examiners	3/29/2012 to 4/1/2012	New York, NY	Attend contracts law committee meeting	Transportation, meals, hotel
3.	Duke University School of Law	4/5/2012 to 4/6/2012	Durham, NC	Preside over Moot Court competition	Transportation, meals, hotel
4.	Boston University-Metropolitan College	5/18/2012 to 5/19/2012	Boston, MA	Give commencement address	Meals, Hotel
5.	National Conference of Bar Examiners	9/13/2012 to 9/15/2012	Santa Monica, CA	Attend contracts law committee meeting	Transportation, meals, hotel

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6.	North Carolina Bar Association	10/4/2012	Cary, NC	CLE Speaker	Transportation
7.	George Mason University School of Law and American Bar Association	10/7/2012 to 10/10/2012	Washington, DC	Attend Educational Program	Transportation, meals, hotel
8.	George Mason University School of Law	11/30/2012 to 12/2/2012	Coral Gables, FL	Attend Board of Advisors Meeting	Transportation, meals, hotel

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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.	North Carolina College Foundation, Inc.	Plus Education Loans	J
2.	North Carolina College Foundation, Inc.	Stafford Education Loans	J
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 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)

1. Vanguard Primecap Fund Admiral IRA	B	Dividend	L	T					
2. Vanguard 500 Index Fund Admiral IRA	B	Dividend	L	T					
3. T. Rowe Price Mid Cap Growth Fund IRA	A	Dividend	J	T					
4. T. Rowe Price Short Term Bond Fund IRA	A	Dividend	J	T					
5. T. Rowe Price Prime Reserve Fund		None	J	T					
6. Cox & Dodge International Stock Fund 401K	B	Dividend	L	T					
7. Neuberger Genesis Advisor Fund 401K	A	Dividend			Sold	5/31/12	K		
8. Vanguard Total Stock Market Index Signal	A	Dividend	L	T	Buy	5/31/12	K		
9. Carolinas Healthcare System Retirement Plan	C	Int./Div.	K	W					
10. T. Rowe Price Capital Appreciation Fund IRA	B	Dividend	K	T					
11. USAA Insurance Co. Subscriber's Account		None	J	T					
12. Navy Federal Credit Union Accounts	A	Interest	K	T					
13.									
14.									
15.									
16.									
17.									

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

Part VII

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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/ ALBERT DIAZ

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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