

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/07/2017
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 01/01/2016 to 12/31/2016
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	Federal Magistrate Judges' Association
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.		
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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	B	Int./Div.	M	T					
2. PNC Bank account	A	Interest	J	T					
3. Rental Property, Greenville NC (2012 \$280,000)		None			Sold	03/01/16	N		
4. Brokerage Acct #1 (IRA) (H)									
5. --Aberdeen Div Alts (GASAX)		None			Sold	07/08/16	J		
6. --Boston Partners Small Cap Val (BPSIX)		None			Sold	07/08/16	J		
7. --Clearbridge Aggressive (SAGYX)	A	Dividend	J	T	Sold (part)	07/08/16	J		
8. --Hartford Core Equity (HGIIX)	A	Dividend	J	T	Sold (part)	07/12/16	J	A	
9. --Invesco Sm Cap Growth (GTSYX)		None			Sold	07/12/16	J		
10. --John Hancock Bond Fund (JHBIX)	A	Dividend	J	T					
11. --John Hancock Intl Growth (GOGIX)	A	Dividend	J	T	Buy (add'l)	07/12/16	J		
12. --JP Morgan Equity Inc. (HLIEX)	A	Dividend	J	T	Sold (part)	07/08/16	J		
13. --MFS Intl Val (MINIX)		None			Sold	07/12/16	J	A	
14. --MFS Mid Cap Val (MCVIX)	A	Dividend	J	T					
15. --Oppenheimer Dev Mkts (ODVYX)		None			Sold	07/12/16	J		
16. --Pioneer Bond Fund (PICYX)	A	Dividend	J	T					
17. --Principal Mid Cap (PMCPX)	A	Dividend	J	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,000,001 - \$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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	(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. --RJ Bank Dep Program Sweep	A	Interest	J	T					
19. --Third Ave R/E Val (TAREX)		None			Sold	07/12/16	J		
20. --Western Asset Mtg Backed Sec (SGSYX)	A	Dividend	J	T					
21. --Invesco Diversified (LCEYX)	A	Dividend	J	T	Buy	07/12/16	J		
22. --Henderson Global Eq (HFQIX)	A	Dividend	J	T	Buy	07/12/16	J		
23. --Gateway Fund Class Y (GTEYX)	A	Dividend	J	T	Buy	07/08/16	J		
24. --Cohen & Steers RE Secs (CSDIX)	A	Dividend	J	T	Buy	07/08/16	J		
25. --Columbia Small Cap (NMSCX)	A	Dividend	J	T	Buy	07/08/16	J		
26. --New World Fund (NFFFX)	A	Dividend	J	T	Buy	07/12/16	J		
27. VOYA Index Plus Lg Cap		None	K	T					
28. Investment Co of America Fund Class A	A	Dividend	J	T					
29. Brokerage Acct #2 (H)									
30. --Fidelity Balanced Fund		None			Sold	01/25/16	M		
31. --Invesco Comstock Fund Class A	C	Dividend	K	T	Buy (add'l)	01/25/16	J		
32. --Touchstone MidCap Value Instl Class	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
33. --T Rowe Price Blue Chip Growth Fund	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
34. --AF EuroPac Gr	A	Dividend	K	T	Buy	01/25/16	K		

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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	
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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. --Dodge & Cox Intl	B	Dividend	K	T	Buy	01/25/16	K		
36. --Invesco Sm Cap	A	Dividend	K	T	Buy	01/25/16	J		
37. --ABF Sm Cap Val Inst	A	Dividend	K	T	Buy	01/25/16	J		
38. --Fid Low Priced Stk	A	Dividend	K	T	Buy	01/25/16	J		
39. --Fid 500 Index Inst	B	Dividend	L	T	Buy	01/25/16	K		
40. --Voya Global RE	A	Dividend			Buy	01/25/16	J		
41.					Sold	07/01/16	K	B	
42. --MSIF GLB RE Port IS	A	Dividend	K	T	Buy	07/01/16	K		
43. --PIM Total RT Inst	A	Dividend	K	T	Buy	01/25/16	K		
44. --Vang Tot Bd Mkt Inst	A	Dividend	J	T	Buy	01/25/16	J		
45. Brokerage Acct #3 (H)									
46. --ABBV	A	Dividend	J	T					
47. --ABT	A	Dividend	J	T					
48. --CSCO	A	Dividend	J	T					
49. --D	A	Dividend	J	T					
50. --MSFT	A	Dividend	J	T					
51. --Janus Enterprise Fund JAENX	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. --Vanguard 500 Index Fund VFINX	A	Dividend	K	T					
53. --Touchstone Strategic Tr Focused Fund TFFYX	A	Dividend	J	T					
54. --Ext Ins Sweep Dep Acct	A	Dividend	J	T					
55. Equitable Variable Life	A	Interest	J	T					
56. NC 529 Plans (H)									
57. --Aggressive Track		None	L	T					
58. --Moderate Track		None	J	T					
59. --Vanguard Growth		None	J	T					
60. --Vanguard Total Stk Mkt Ind		None	J	T					
61.									
62.									
63.									

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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
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One Columbus Circle, N.E.
Washington, D.C. 20544