AO 10
Rev. 1/2017

# 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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| WYNN, JAMES A. | UNITED STATES COURT OF APPEALS FOR THE FOURTH CIRCUIT | 06/28/2017 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| US CIRCUIT JUDGE | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2016 **to** 12/31/2016 |
| **7. Chambers or Office Address** | | |
| 434 FAYETTEVILLE STREET, SUITE 2145, 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.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Commissioner | National Conference of Commissioners on Uniform State Laws |
| 2. | Director | American Bar Endowment Board |
| 3. | Member | Marquette University Board of Trustees |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | 2016 | North Carolina Consolidated Judicial Retirement System |
| 2. | | |
| 3. | | |

## 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. | 2016 | North Carolina Consolidated Judicial Retirement System | $102,340.38 |
| 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. | 2016 | State of North Carolina - 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | American Bar Endowment | February 25-28, 2016 | Amelia Island, FL | ABE Board Meeting | Transportation, meals, lodging |
| 2. | American Bar Association | February 28-March 4, 2016 | Tashkent, Uzbekistan | Uzbekistan Judges' Training | Transportation, meals, lodging |
| 3. | American Bar Association | March 29-31, 2016 | Washington, DC | ROLI public forum | Transportation, meals, lodging |
| 4. | Sigma Pi Phi Fraternity | April 19-20, 2016 | Atlanta, GA | Committee Chairs' meeting | Transportation, lodging, meals |
| 5. | American Bar Endowment | May 15-21, 2016 | Hapalua, HI | ABE/ABI Board of Directors Meeting | Transportation, meals, lodging |
| 6. | Just The Beginning - A Pipeline Organization | September 15-18, 2016 | New York, NY | Judicial Conference | Lodging, meals, events |

| | | | | | |
|---|---|---|---|---|---|
| 7. | Practising Law Institute | September 28-30, 2016 | New York, NY | Annual Section 1983 Civil Rights Litigation program panelist | Transportation, meals, lodging |
| 8. | Sigma Pi Phi Fraternity | October 13-15, 2016 | Columbia, SC | Committee Meeting | Mileage, meals, lodging |
| 9. | American Bar Endowment | November 2-5, 2016 | San Antonio, TX | Board Meeting | Transportation, meals, lodging |
| 10. | National Constitution Center | December 1-2, 2016 | Washington, DC | National Constitution Center Program | Transportation, meals, lodging |
| 11. | American Bar Association | December 11-12, 2016 | Washington, DC | ROLI Board Meeting | Transportation, meals, lodging |

| Name of Person Reporting | Date of Report |
|---|---|
| WYNN, JAMES A. | 06/28/2017 |

## V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 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.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | Discover | Credit Card | J |
| 2. | BB&T | Unsecured Loan | J |
| 3. | Bank of America | Credit Card | J |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **WYNN, JAMES A.** | 06/28/2017 |

## 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. ADV Micro Devices, Inc. Stock | | None | | | Buy | 01/11/16 | K | | |
| 2. | | | | | Sold | 05/25/16 | K | D | |
| 3. | | | | | | | | | |
| 4. | | | | | | | | | |
| 5. | | | | | | | | | |
| 6. | | | | | | | | | |
| 7. | | | | | | | | | |
| 8. | | | | | | | | | |
| 9. | | | | | | | | | |
| 10. | | | | | | | | | |
| 11. | | | | | | | | | |
| 12. | | | | | | | | | |
| 13. | | | | | | | | | |
| 14. | | | | | | | | | |
| 15. | | | | | | | | | |
| 16. | | | | | | | | | |
| 17. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| WYNN, JAMES A. | 06/28/2017 |

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

No reportable assets.

| Name of Person Reporting | Date of Report |
|---|---|
| WYNN, JAMES A. | 06/28/2017 |

## 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 A. WYNN**

**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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