

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) Numbers, Robert T.	2. Court or Organization U.S. District Court, Eastern District North Carolina	3. Date of Report 05/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full-Time)	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 United States District Court Terry Sanford Federal Building 310 New Bern Ave. Raleigh, NC 27601-1418		
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. Administrator	Estate #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.	
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. _____

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 PROVIDED1. Federalist Society & Liberty
Fund

July 17-19, 2015

Minneapolis, MN

Faculty Colloquium

Travel, hotel, meals

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.	Discover Student Loan #1	Law School Loan	J
2.	Discover Student Loan #2	Law School Loan	J
3.	Discover Student Loan #3	Law School Loan	J
4.	Discover Student Loan #4	Law School Loan	J
5.	NelNet Student Loan #1	Law School Loan	K
6.	NelNet Student Loan #2	Law School Loan	K

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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. Investment Account #1 (H)									
2. BMO Aggressive Allocation	A	Int./Div.			Sold	08/31/15	K		
3. Dodge & Cox International Stock	A	Int./Div.	J	T					
4. Goldman Sachs Small Cap Value	A	Int./Div.	K	T	Buy (add'l)	08/31/15	K		
5. Lazard Emerging Markets Equity	A	Int./Div.	J	T					
6. Royce Premier	A	Int./Div.			Sold	08/31/15	K		
7. T. Rowe Price Retirement 2040	A	Int./Div.			Sold	08/31/15	K		
8. Retirement 2040 Port		None	K	T	Buy	08/31/15	K		
9. Retirement 2050 Port		None	K	T	Buy	08/31/15	K		
10. Vanguard Institutional Index	B	Int./Div.	M	T					
11. Vanguard Short Term Corporate Bond	A	Int./Div.	K	T					
12. Vanguard Total International Stock	A	Int./Div.	K	T					
13. Investment Account #2 (H)									
14. Vanguard 500 Index Fund Investor Shares	A	Int./Div.	J	T					
15. Vanguard Long-Term Bond Index Fund (Y)									
16. College Foundation of North Carolina Account #1 (H)									
17. Vanguard Aggressive Growth Portfolio (Y)									

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 = \$250,001 - \$500,000	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.)

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. Vanguard Conservative Growth Portfolio		None	J	T					
19. Vanguard Moderate Growth Portfolio		None	J	T					
20. College Foundation of North Carolina Account #2 (H)									
21. Vanguard Aggressive Growth Portfolio (Y)									
22. Vanguard Conservative Growth Portfolio		None	J	T					
23. Vanguard Moderate Growth Portfolio		None	J	T					
24. RiverSource Variable Universal Life IV Insurance (H)									
25. Fixed Account (Y)									
26. Columbia Variable Portfolio Intermediate Bond Fund (Class 3)		None	J	T					
27. Columbia Variable Portfolio Dividend Opportunity Fund (Class 3)		None	J	T					
28. AllianceBernstein VPS International Value Portfolio		None	J	T					
29. AllianceBernstein VPS Growth & Income Portfolio		None	J	T					
30. Fidelity VIP Mid Cap Portfolio Service Class 2 (Y)									
31. FTVIPT Franklin Global Real Estate VIP Fund - Class 2 (Y)									
32. Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares		None	J	T					
33. Wanger USA		None	J	T					
34. RiverSource Variable Universal Life IV ES Insurance (H)									

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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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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. Fixed Account (Y)									
36. Columbia Variable Portfolio Intermediate Bond Fund (Class 3)		None	J	T					
37. Columbia Variable Portfolio Dividend Opportunity Fund (Class 3)		None	J	T					
38. AllianceBernstein VPS International Value Portfolio		None	J	T					
39. AllianceBernstein VPS Growth & Income Portfolio		None	J	T					
40. Fidelity VIP Mid Cap Portfolio Service Class 2		None	J	T					
41. FTVIPT Franklin Global Real Estate VIP Fund - Class 2		None	J	T					
42. Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares		None	J	T					
43. Wanger USA		None	J	T					
44. Estate #1 (H)									
45. Cash in Attorney Trust Account (Bank of America)		None			Distributed	03/03/15	J		
46. Misc. Holdings (H)									
47. Wells Fargo Accounts	A	Int./Div.	K	T					
48. Land in Cary, North Carolina		None	N	W					
49.									
50.									

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

Part I, Line 1 - Executor of estate for a family member. No executor fee received. Estate closing documents have been submitted to local clerk of court. Filer's spouse is a beneficiary of the estate.

Part VII, lines 16, 20, 24, and 34: Holdings within these accounts are unit-based rather than direct investments, therefore they do not generate reportable income.

Part VI, Line 17 - Value is estimated based upon offers to purchase land over several years. (Per conversation with K. Silbaugh on 3/25/15)

Part VII, Lines 26 and 36: Name change - formerly Columbia Variable Portfolio Diversified Bond Fund (Class 3)

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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/ **Robert T. Numbers**

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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