

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 7/30/2012
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 01/01/2011 to 12/31/2011

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. Insert signature on last page.

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. Board of Advisors	Florence Crittenton Services
3. Part-Time Instructor	University of North Carolina, Charlotte
4. Director	Mecklenburg County Bar
5. Board of Advisors	ASPIRA NC
6. Member	Contracts Law Drafting Committee, National Conference of Bar Examiners
7. Board of Advisors	Wake Forest School of Law Journal of Law & Policy

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. 2011	Judicial Retirement Plan; receiving annual pension from the state of North Carolina for prior service as a state trial judge.
2. 2011	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. 2011	University of North Carolina Charlotte, teaching	\$7,680.00
2. 2011	Multistate Bar Exam Contracts Drafting Committee, National Conference of Bar Examiners, stipend	\$7,000.00
3. 2011	North Carolina Judicial Retirement	\$20,838.00
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. 2011	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.	National Conference of Bar Examiners	3/31/2011 to 4/3/2011	Washington, DC	Attend contracts law committee meeting	Transportation, meals, hotel
2.	National Conference of Bar Examiners	9/15/2011 to 9/18/2011	Las Vegas, Nevada	Attend contracts law committee meeting	Transportation, meals, hotel
3.	Hispanic National Bar Association	5/31/2011 to 6/01/2011	Washington, DC	CLE Speaker	Transportation, hotel
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.	North Carolina College Foundation, Inc.	Plus Education Loans	K
2.	North Carolina College Foundation, Inc.	Stafford Education Loans	K
3.	American Express	Credit Card	J
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. Vanguard Primecap Fund Admiral IRA	B	Dividend	L	T					
2. Vanguard 500 Index Fund Admiral IRA	B	Dividend	L	T					See Part VIII
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. T. Rowe Price Prime Reserve Fund UGMA		None			Closed	10/10/11	J		
7. Cox & Dodge International Stock Fund 401K	B	Dividend	L	T					See Part VIII
8. Neuberger Genesis Advisor Fund 401K	B	Dividend	K	T					
9. Carolinas Healthcare System Retirement Plan	C	Int./Div.	K	W					
10. T. Rowe Price Capital Appreciation Fund IRA	A	Dividend	K	T					
11. USAA Insurance Co. Subscriber's Account		None	J	T					
12. North Carolina Judicial Retirement Plan		None			Matured				See Part VIII
13. Navy Federal Credit Union Accounts ("X")	A	Interest	K	T					
14.									
15.									
16.									
17.									

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 = \$250,000.01 - \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII

Line 2: This fund was formerly known as Vanguard Index Fund IRA.

Line 7: I inadvertently did not include the full name of this fund in my Nomination Report. The full name now appears here.

Line 12: I began collecting a state judicial pension from the state of North Carolina beginning in January 2011, which I have identified in Parts II and III of the report. This asset was inadvertently reported in my Nomination Report in Part VII, and will no longer be listed in this section in future reports.

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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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Washington, D.C. 20544