

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Auld, Lawrence P.	2. Court or Organization District Court, Middle District of North Carolina	3. Date of Report 06/10/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2017 to 12/31/2017
7. Chambers or Office Address L. Richardson Preyer United States Courthouse 324 West Market Street Greensboro, NC 27401		
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. Adjunct Professor of Pretrial Practice	Duke University School of Law
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Duke University School of Law; teaching income	\$0.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	self-employed attorney
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.				
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.		
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. Bank of America Cash Accounts	A	Interest	N	T					
2. Truliant Federal Credit Union Cash Accounts	A	Interest	M	T					
3. Brokerage Account #1 (H)									
4. - Lord Abbett Bd-Deb C BDLAX	A	Dividend	J	T					
5. - Pimco Income PONCX	A	Dividend	J	T					
6. - New Perspective Fund	A	Dividend	J	T					
7. - JP Morgan UM Behavioral Value Fd UBVCX	B	Dividend	K	T					
8. Brokerage Account #2 (H)									
9. - Vanguard Tax Mgd Sml Cap Inv VTMSX	A	Dividend	K	T					
10. - CBRE Clarion Global Real Estate	A	Dividend	J	T					
11. - Ishares Min Vol Emrg Mkt	A	Dividend	J	T					
12. - Ishares TR GI Timb Fore	A	Dividend	J	T					
13. - New World Fd Inc New NFFFX	A	Dividend	J	T					
14. - Oppenheimer Intl Growth Fd OIGYX		None			Sold	02/07/17	J		
15. - Oppenheimer ETF Tr Large Cap Rev RWL (formerly Opp Rev Weighted)	A	Dividend	K	T	Buy (add'l)	02/07/17	J		
16. - SPDR S&P 500	A	Dividend	J	T					
17. - Vanguard Tax Managed Fd Europe Pacific VEA	B	Dividend	K	T	Buy (add'l)	02/07/17	J		

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 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	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 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)

18.					Buy (add'l)	04/28/17	J		
19. - Vanguard Whitehall Fds Inc	A	Dividend	J	T					
20. - Vanguard Index Fds	A	Dividend	K	T	Buy (add'l)	03/03/17	J		
21.					Buy (add'l)	03/24/17	J		
22.					Buy (add'l)	06/06/17	J		
23. - Virtus VONTOBEL Emerging Markets Oppty HIEMX	A	Dividend	J	T					
24. - Advantage Bank Deposit FDIC Insured at various bks	A	Interest	J	T					
25. IRA # 1 (H)									
26. - Invesco Intl Growth Fd Cl A AIIEEX		None			Sold	02/02/17	J		
27. - New Perspective Fd Inc ANWFX	A	Dividend	J	T					
28. - Powershares DB Cmtty Indx Track DBC		None	J	T					
29. - Doubleline Fds Tr Emerging Mkts Income DLENX	A	Dividend	J	T					
30. - Harbor Capital Appreciation HCAIX	B	Dividend	J	T					
31. - Virtus Vontobel emerg Mrkts Oppty Cl 1 HIEMX	A	Dividend	J	T					
32. - CBRE Clarion Global Real Estate IGR	A	Dividend	J	T					
33. - Lyrical US Value Equity LRIX	B	Dividend	K	T					
34. - New World Fd Inc New NFFFX	A	Dividend	J	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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35. - PIMCO Income P PONPX	A	Dividend	J	T					
36. - SPDR S&P 500 ETF SPY	A	Dividend	K	T					
37. - Undiscovered Mgr Beh'l Val UBVLX	A	Dividend	K	T					
38. - Vanguard Intl Equity Index Fd	A	Dividend	K	T					
39. - Ishares TR GI Timb Fore WOOD	A	Dividend	J	T					
40. - Ishares Min Vol Emrg Mkt EEMV	A	Dividend	J	T					
41. - Vanguard Index Fds REIT VNQ	A	Dividend	J	T					
42. - Ishares Tr MSCL EAFE ETF EFA	A	Dividend	J	T	Buy	02/07/17	J		
43. - Advantage Bank Deposit FDIC Insured at various Bks	A	Interest	J	T					
44. 401k #1 (H)									
45. - Vanguard Windsor II Admiral		None			Sold	02/23/17	L		
46. - Sterling Capital Special Opp	A	Int./Div.			Sold	02/23/17	K		
47. - T Rowe Price Blue Chip Growth	A	Int./Div.			Sold	02/23/17	L		
48. - Dreyfus Small Cap Stock Index	A	Int./Div.			Sold	02/23/17	K		
49. - American Europacific Gr R6		None			Sold	02/23/17	K		
50. - Vanguard REIT Index Admiral		None			Sold	02/23/17	J		
51. - Vanguard 500 Index Admiral		None			Sold	02/23/17	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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52. - Western Asset Core Bond IS	A	Dividend			Sold	02/23/17	K		
53. - Fidelity Mid Cap Stock	A	Int./Div.			Sold	02/23/17	J		
54. - ABA Retirement Funds: Large-Cap Index Equity Fund	A	Int./Div.	M	T	Buy	02/24/17	M		
55. - ABA Retirement Funds: Mid-Cap Index Equity Fund	A	Int./Div.	K	T	Buy	02/24/17	K		
56. - ABA Retirement Funds: Small-Cap Index Equity Fund	A	Int./Div.	K	T	Buy	02/24/17	K		
57. - ABA Retirement Funds: International Index Equity Fund	A	Int./Div.	M	T	Buy	02/24/17	L		
58. - ABA Retirement Funds: Real Estate Return Fund	A	Int./Div.	K	T	Buy	02/24/17	K		
59. VOYA Reliastar Variable Life Ins (H)									
60. - Large Cap Growth Portfolio		None	J	T					
61. - T Rowe Price Div Mid Cap Grth I Cls		None	K	T					
62. - Voya Russell Large Cap Growth Index Port Cl		None	J	T					
63. VCSP College America 529 Plan (H)									
64. - American Funds Amcap Fund - 529 fd cl A CAFAX	A	Dividend	J	T					
65. - American Funds EuroPacific Growth Fund - 529A	A	Dividend	J	T					
66. - American Funds The Growth Fund of America - 529A	B	Dividend	K	T					
67. - American Funds SMALLCAP World Fund - 529A	A	Dividend	K	T					
68. - American Funds Captial World Growth and Income - 529A	B	Dividend	K	T					

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69. - American Funds Washington Mutual Investors Fund - 529A	B	Dividend	K	T					
70. - American Funds Capital Income Builder - 529A CIRAX	A	Dividend	K	T					
71. - American Funds New World Fund	A	Dividend	J	T					
72. - American Funds Capital World Bond Fund CCWAX	A	Dividend	J	T					
73. - American High Income CITAX	A	Dividend	J	T					
74. BB&T Cash Accounts	A	Interest			Closed	08/14/17	K		
75. State Employees' Credit Union Cash Accounts	B	Interest			Closed	09/13/17	M		
76. Wells-Fargo Cash Accounts	A	Interest			Closed	12/26/17	L		
77. Brokerage Account #3 (H) (X)									
78. - BB&T Corp. (X)		None			Sold	07/24/17	M	C	
79. - Exxon Mobil Corp. (X)		None			Sold	07/24/17	K		
80. - Ford Motor Co. (X)	A	Dividend			Sold	07/24/17	J		
81. - IBM (X)		None			Sold	07/24/17	K		
82. - Procter & Gamble Co. (X)	A	Dividend			Sold	07/24/17	K		
83. - American Funds: AMCAP Fund (X)	B	Dividend	K	T					
84. - American Funds: Capital Income Builder (X)	B	Dividend	L	T					
85. - American Funds: Capital World Grw & Inc. Fund (X)	B	Dividend	K	T					

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86. - American Funds: Fundamental Investors Fund (X)	C	Dividend	L	T					
87. - American Funds: Income Fund of America (X)	B	Dividend	K	T					
88. - American Funds: New Economy Fund (X)	B	Dividend	K	T					
89. - American Funds: New Perspective Fund (X)	B	Dividend	K	T					
90. Edward Jones Cash Account (X)		None	M	T					
91.									

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

In Part I, the position of adjunct professor is listed because of the direction that positions held by the filer must cover from January 1 of the reporting period through the date the report is filed. The filer did not serve as an adjunct professor during 2017. He began serving as an adjunct professor in January 2018. Accordingly, in Part III-A, the income listed for 2017 is \$0.00.

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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/ Lawrence P. Auld**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544