

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) Keesler, David C.	2. Court or Organization N Carolina - District Court	3. Date of Report 08/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 401 West Trade Street Room 168 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.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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.

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. 2015

K. Interiors-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.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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.	Trinity Episcopal School	Tuition	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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. WELLS FARGO COMMON STOCK	A	Dividend	J	T					
2. IRA #1 (H)	B	Dividend	M	T					
3. -ARTISAN PARTNERS FDS SMALL CAP FDS ARTSX	A	Dividend			Sold	03/24/15	J		
4. -DEUTSCHE SECS TR ENHANCED COMMODITY STRAT SKIRX	A	Dividend	J	T	Buy	12/16/15	J		
5. -DEUTSCHE SECS TR GLOBAL REAL ESTATE RRGTX	A	Dividend	J	T	Buy	05/05/15	J		
6. -BLACKROCK FDS II CORE BOND PORT INSTL CLASS BFM CX	A	Dividend	J	T					
7. -BLAIR WILLIAM FDS BIGIX	A	Dividend			Sold	03/24/15	J		
8. -FUNDVANTAGE TR GOTHAM ABSOLUTE RETURN GARIX	A	Dividend	J	T	Buy	08/05/15	J		
9.					Buy (add'l)	11/24/15	J		
10. -DELAWARE GROUP DEUIX	A	Dividend	J	T	Sold (part)	03/24/15	J		
11. -EATON VANCE MUTUAL FDS TR GLOBAL MARCO ABSLT EGRIX	A	Dividend	J	T	Buy	11/24/15	J		
12. -HARRIS ASSOC INVT TR OAKMARK INTL FD OAKIX	A	Dividend			Buy (add'l)	03/24/15	J		
13.					Sold	08/04/15	J		
14. -RS INVT TR SMALL CAP GROWTH FD CL Y RSYEX	A	Dividend	J	T	Buy	03/24/15	J		
15.					Sold (part)	08/04/15	J		
16. -GABELLI EQUITY SER FD SML CAP GROWTH FUND GACIX	A	Dividend	J	T	Buy	03/24/15	J		
17.					Buy (add'l)	03/26/15	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 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 - \$500,000,000	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 \$5,000,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)

18.					Sold (part)	08/04/15	J		
19. -GOLDMAN SACHS TR FTIXX	A	Dividend	J	T					
20. -HOTCHKIS & WILEY HWMIX	A	Dividend	J	T	Buy (add'l)	03/24/15	J		
21.					Sold (part)	08/04/15	J		
22. -JANUS INVT FD JFLEX	A	Dividend			Sold	08/04/15	J		
23. -JOHN HANCOCK JCUIX	A	Dividend	J	T	Sold (part)	08/04/15	J		
24. -MAINSTAY FDS TR MFLDX	A	Dividend			Sold	03/24/15	J		
25. -LAZARD FDS INC EQUITY PORT INSTL SHS LZIEIX	A	Dividend	K	T	Buy	08/05/15	J		
26.					Sold (part)	11/23/15	J		
27. -JP MORGAN TR 1 JLP SX	A	Dividend	K	T	Sold (part)	03/24/15	J		
28. -NATIONWIDE MUT FDS NWHYX	A	Dividend			Sold	03/24/15	J		
29. -NEUBERGER BERMAN ALTERNATIVE FDS NLSIX	A	Dividend			Sold	11/26/15	J		
30. -BLACKROCK FDS EMERGING MKT LONG/SHORT BLSIX	A	Dividend			Buy (add'l)	03/24/15	J		
31.					Sold	08/04/15	J		
32. -PUTNAM ABSOLUTE RETURN 700 CL Y PDMYX	A	Dividend			Buy (add'l)	03/24/15	J		
33.					Sold	08/04/15	J		
34. -HEARTLAND VALUE PLUS FD INSTL CL HNVIX	A	Dividend			Sold	03/24/15	J		

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				

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)

35. -OPPENHEIMER DEV ODVYX	A	Dividend	J	T	Buy (add'l)	03/24/15	J		
36. -PIMCO FDS FAC INVT PCRIX	A	Dividend			Buy (add'l)	03/24/15	J		
37.					Sold	12/15/15	J		
38. -DREYFUS EMERGING DRPEX	A	Dividend			Sold	03/24/15	J		
39. -VIRTUS EMERGING MARKETS OPPORTUNITIES FND CL I HIEMX	A	Dividend	J	T	Buy	03/24/15	J		
40.					Buy (add'l)	08/05/15	J		
41.					Buy (add'l)	11/24/15	J		
42. -PRINCIPAL FDS INC PHYTX	A	Dividend	J	T	Buy	08/04/15	J		
43. -T ROWE PRICE TRREX	A	Dividend	J	T					
44. -TCW DIVERSIFIED VALUE TGDIX	A	Dividend	K	T	Buy (add'l)	08/05/15	J		
45. -NATIXIX FDS TR II ASFYX	A	Dividend			Buy (add'l)	03/24/15	J		
46.					Sold	08/04/15	J		
47. -NATIXIS FDS TR II GAFYX	A	Dividend	J	T	Buy	08/04/15	J		
48.					Buy (add'l)	08/05/15	J		
49.					Sold (part)	11/23/15	J		
50. -METLIFE INVS USA C SHAR VARIABLE ANNUITY	A	Dividend	L	T					
51. IRA # 2 (H)	B	Dividend	L	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)
52. -WELLS FARGO BANK DEPOSIT SWEEP ACCOUNT	A	Dividend	J	T					
53. -CHEVRON CORPORATION CVX	A	Dividend	J	T					
54. -DISNEY WALT COMPANY DIS	A	Dividend	J	T	Sold (part)	01/14/15	J		
55. -EXXON MOBIL CORP XOM	A	Dividend	J	T					
56. -JOHNSON & JOHNSON JNJ	A	Dividend	J	T					
57. - MICROSOFT CORP MSFT	A	Dividend			Sold	04/13/15	J		
58. -PROCTER & GAMBLE CO PG	A	Dividend	J	T					
59. -AEGIS VALUE FUND INC AVALX	A	Dividend			Sold	01/20/15	J		
60. -DODGE & COX INTL STOCK FUND DODFX	A	Dividend	J	T					
61. -JANUS INVT FD JMVAX	A	Dividend			Sold (part)	01/14/15	J		
62.					Sold	04/13/15	J		
63. -T ROWE PRICE MID CAP GROWTH FUND RPMGX					Sold (part)	01/20/15	J		
64.					Sold (part)	01/26/15	J		
65.					Sold (part)	03/23/15	J		
66. -TEMPLETON FUNDS INCOME TGBAX					Sold	04/13/15	J		
67. -VANGUARD/WINDSOR FUND VWFAX	A	Dividend	J	T	Sold (part)	01/20/15	J		
68.					Sold (part)	01/21/15	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 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	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)
69.					Sold (part)	12/24/15	J		
70. IRA #3 (H)	A	Dividend	J	T					
71. -COLUMBIA ACORN FUND CLASS C LIACX	A	Dividend	J	T					
72. BROKERAGE ACCOUNT #1 (Y)									
73. WELLS FARGO BANK DEPOSIT SWEEP (Y)									
74. 529 PLAN #1 (H)									
75. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	K	T					
76. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
77. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
78. THE INCOME FUND OF AMERICA 529 CL C CIMCX	A	Dividend	J	T					
79. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
80. AMERICAN FUNDS COLLEGE 2021 FUND 529C CTOCX	A	Dividend	K	T	Buy	06/08/15	K		
81. 529 PLAN #2 (H)									
82. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	J	T					
83. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
84. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
85. THE INCOME FUND OF AMERICA 529 C CIMCX	A	Dividend	J	T	Buy (add'l)	06/08/15	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)

86. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
87. BROKERAGE ACCOUNT #2									
88. AMER BALANCED FD INC BALFX	A	Dividend	J	T					
89. IRA #4 (H)	A	Dividend	M	T					
90. -MANAGERS AMG FDS TMDPX	A	Dividend	J	T	Buy (add'l)	03/13/15	J		
91.					Sold (part)	08/18/15	J		
92. -AIM GLOBAL REAL ESTATE ARGYX	A	Dividend	J	T	Buy (add'l)	09/14/15	J		
93. -DEUTSCHE SECS TR ENHANCED COMMODITY STRAT SKIRX	A	Dividend	J	T	Buy	12/16/15	J		
94. -BLAIR WILLIAM FDS INTL GROWTH BIGIX	A	Dividend	J	T					
95. -CAMBIAR OPPORTUNITY FD CAMWX	A	Dividend	J	T					
96. -SECURITY EQUITY FD MID SEVAX	A	Dividend			Sold	03/13/15	J		
97. -DELAWARE GROUP EQUITY FD 11-VALUE FD DDVIX	A	Dividend	J	T					
98. -DREYFUS APPRECIATION FD INC DGAGX	A	Dividend			Sold (part)	03/13/15	J		
99.					Sold	03/16/15	J		
100. -FIRST EAGLE FUNDS SOGEN OVERSEAS FUND CLI SGOIX	A	Dividend	J	T					
101. -GOLDMAN SACHS TR FTIXX	A	Dividend	J	T					
102. -HANCOCK JOHN CAP SER CLASSIC VALUE CL I JCVIX	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 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	
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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)
103. -HARBOR INTERNATIONAL INSTL CL HAINX	A	Dividend	J	T					
104. -EAGLE SMALL GAP GROWTH FUND CLASS I HSIIX	A	Dividend	J	T	Sold (part)	08/13/15	J		
105. -HOTCHKIS & WILEY FDS MID CAP HWMIX	A	Dividend	J	T	Sold (part)	03/13/15	J		
106. -AMERICAN FUNDS WASHINGTON MUTUAL FD F2 WMFFX	A	Dividend	J	T	Buy	03/13/15	J		
107. -KEELEY FDS INC SMALL KSCIX	A	Dividend			Sold	08/13/15	J		
108. -LAZARD FDS INC LZEMX	A	Dividend	J	T	Buy (add'l)	03/13/15	J		
109.					Buy (add'l)	08/13/15	J		
110. -MORGAN STANLEY INSTL MPEGX	A	Dividend			Sold	03/13/15	J		
111. -MAINSTAY LARGE CAP GROWTH FD CLASS I MLAIX	A	Dividend	J	T					
112. -WELLS FARGO FDS TR SMALL WEMIX	A	Dividend	J	T					
113. -OPPENHEIMER DEV MKTS ODVYX	A	Dividend	J	T					
114. -PIMCO FDS PAC INVT PCRIX	A	Dividend			Sold	12/15/15	J		
115. -VICTORY PORTFOLIOS SMALL CO OPPTY FD VSOIX	A	Dividend	J	T	Buy (add'l)	03/16/15	J		
116.					Buy (add'l)	08/14/15	J		
117. -VOYA SER FD INC LARGE CAP GROWTH FD CL I PLCIX	A	Dividend	J	T					
118. IRA # 5	A	Dividend	J	T					
119. -DAVIS NEW YORK VENTURE FUND INC CL C NYVCX	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 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	
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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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)
120. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG) (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 = \$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	
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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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

Line 19 - Previously reported on line 8 of 2014 report.

Line 72 - Under reporting limits.

Line 73 - Under reporting limits.

Line 104 - Ticker symbol incorrectly reported as HSIX on 2014 FDR. Ticker symbol is HSIIX.

Line 117 - Ticker symbol incorrectly reported as VSOIX on 2014 FDR. Ticker symbol is PLCIX.

Line 120 - Under reporting limits.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

08/09/2016

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/ **David C. Keesler**

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