

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 6/10/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 227 West Trade St. Suite 1600 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member	Contracts Law Drafting Committee, National Conference of Bar Examiners
2.	Board of Advisors	Wake Forest University School of Law Journal of Law & Policy
3.	Board of Advisors	George Mason University School of Law Judicial Education Program
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. 2006	Judicial Retirement Plan; receiving annual pension from the state of North Carolina for prior service as a state trial judge.
2. 2006	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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Multistate Bar Exam Contracts Drafting Committee, National Conference of Bar Examiners, stipend	\$7,000.00
2. 2013	North Carolina Judicial Retirement	\$21,046.44
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. 2013	Carolinas HealthCare System, salary
2. 2013	Mecklenburg County, salary
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. New York University School of Law	4/07/13 to 4/09/13	New York, NY	Judge Moot Court competition	Transportation, meals, hotel
2. Cornell University School of Law	4/12/13 to 4/14/13	Ithaca, NY	Judge Moot Court competition	Transportation, meals, hotel
3. National Conference of Bar Examiners	4/18/13 to 4/20/13	Tucson, Arizona	Attend contracts law committee meeting	Transportation, meals, hotel
4. National Conference of Bar Examiners	9/5/13 to 9/7/13	Philadelphia, PA	Attend contracts law committee meeting	Transportation, meals, hotel

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5.	George Mason University School of Law	11/17/13 to 11/19/13	Arlington, VA	Attend Educational Program & Advisory Board Meeting	Transportation, meals, hotel
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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	J
2.	Marshall Associate, LP	Rental Agreement (Guarantor)	J
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 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)

1. Vanguard Primecap Fund Admiral IRA	C	Dividend	L	T					
2. Vanguard 500 Index Fund Admiral IRA	B	Dividend	L	T					
3. T. Rowe Price Mid Cap Growth Fund IRA	A	Dividend	J	T	Sold (part)	6/10/13	J		
4. T. Rowe Price Short Term Bond Fund IRA	A	Dividend			Sold	2/11/13	J		
5. T. Rowe Price Prime Reserve Fund		None	J	T					
6. Cox & Dodge International Stock Fund 401K	A	Dividend			Sold	9/30/13	L		
7. Vanguard Total Stock Market Index Signal Fund 401K	A	Dividend			Sold	9/30/13	L		
8. Carolinas Healthcare System Retirement Plan	C	Int./Div.			Sold	10/18/13	K		
9. T. Rowe Price Capital Appreciation Fund IRA	B	Dividend	K	T					
10. USAA Insurance Co. Subscriber's Account		None	J	T					
11. Navy Federal Credit Union Accounts	A	Interest	J	T					
12. JP Morgan Smart Retire 2025 Fund 401K	C	Dividend			Buy	10/1/13	M		
13.					Sold	11/5/13	M		
14. Prudential NC Large Cap Growth Fund 401K		None	M	T	Buy	11/4/13	K		
15.					Buy (add'l)	11/18/13	L		
16. Prudential NC Global Equity Fund 401K		None	M	T	Buy	11/4/13	K		
17.					Buy (add'l)	11/18/13	L		

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	

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

Part VII

The dates provided for the sale of the JP Morgan Smart Retire 2025 Fund account and the Carolinas Healthcare System Retirement Plan account are approximate, as these were rollovers of retirement accounts. I do not have the precise dates on which the fund/plan cut the rollover checks.

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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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