

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Flanagan, Louise W.	2. Court or Organization US District Court, NC	3. Date of Report 05/08/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address US Courthouse 413 Middle Street New Bern, NC 28560		
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.	

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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 PROVIDED

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. Deposits at First Citizens Bank	A	Interest	J	T					
2. Clearbridge Small Cap C (formerly Clearbridge Special Inv Tr)		None			Sold	11/17/16	J	A	
3. Clearbridge Value Trust		None			Sold	11/17/16	K	D	
4. Receivable-Noucoux UN, LLC (Buyout of LLC Interest) (X)	C	Interest	M	T					
5. Scholars Choice 529 Plan, Balance 50/50 Portfolio NO CONTROL		None	L	T	Sold (part)	07/19/16	J	A	
6.					Sold (part)	09/09/16	J	A	
7.					Sold (part)	11/07/16	J	A	
8.					Sold (part)	11/09/16	J	A	
9. MET GAC Series		None	O	T	Buy (add'l)	08/31/16	J		
10.					Buy (add'l)	11/08/16	J		
11.					Sold (part)	11/22/16	J	A	
12. Fidelity Spartan 500 Index Inv	C	Dividend	M	T	Buy (add'l)	08/31/16	J		
13.					Buy (add'l)	11/08/16	J		
14.					Sold (part)	11/22/16	J	A	
15. Fidelity Spartan ExtMkt Index Inv	B	Dividend	K	T	Buy (add'l)	08/31/16	J		
16.					Buy (add'l)	11/08/16	J		
17.					Sold (part)	11/22/16	J	A	

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 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	
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18. Europacific Growth R6	A	Dividend	L	T	Buy (add'l)	08/31/16	J		
19.					Buy (add'l)	11/08/16	J		
20.					Sold (part)	11/22/16	J	A	
21. Mainstay Large Cap Growth I	D	Dividend	M	T	Buy (add'l)	08/31/16	J		
22.					Buy (add'l)	11/08/16	J		
23.					Sold (part)	11/22/16	J	A	
24.					Buy (add'l)	12/14/16	L		
25. MFS Value R4	B	Dividend	M	T	Buy (add'l)	08/31/16	J		
26.					Buy (add'l)	11/08/16	J		
27.					Sold (part)	11/22/16	J	A	
28.					Buy (add'l)	12/14/16	L		
29. J Hancock Disciplined Val MCap I	A	Dividend	K	T	Buy (add'l)	08/31/16	J		
30.					Buy (add'l)	11/08/16	J		
31.					Sold (part)	11/22/16	J	A	
32. Vanguard Total Int'l Stock Index	B	Dividend	L	T	Buy (add'l)	08/31/16	J		
33.					Buy (add'l)	11/08/16	J		
34.					Sold (part)	11/22/16	J	A	

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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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35. American Balanced R6	D	Dividend	M	T	Buy (add'l)	08/31/16	J		
36.					Buy (add'l)	11/08/16	J		
37.					Sold (part)	11/22/16	J	A	
38. Loomis Sayles Global Bond Inst'l	A	Dividend			Buy (add'l)	08/31/16	J		
39.					Buy (add'l)	11/08/16	J		
40.					Sold (part)	11/22/16	J	A	
41.					Sold	12/14/16	M	A	
42. Eagles Small Cap Growth	A	Dividend	K	T	Buy (add'l)	08/31/16	J		
43.					Buy (add'l)	11/08/16	J		
44.					Sold (part)	11/22/16	J	A	
45. Delaware Small Cap Value Inst'l	A	Dividend	K	T	Buy (add'l)	08/31/16	J		
46.					Buy (add'l)	11/08/16	J		
47.					Sold (part)	11/22/16	J	A	
48. Metropolitan West Total Return	C	Int./Div.	M	T	Buy (add'l)	08/31/16	J		
49.					Buy (add'l)	11/08/16	J		
50.					Sold (part)	11/22/16	J	A	
51. DoubleLine Total Return Bond	C	Dividend	L	T	Sold (part)	01/19/16	J	A	

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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.					Buy (add'l)	06/14/16	J		
53.					Buy (add'l)	12/13/16	K		
54.					Sold (part)	12/20/16	J	A	
55. Guggenheim Total Return Bond Fd	C	Dividend			Sold (part)	01/19/16	J	A	
56.					Buy (add'l)	12/13/16	K		
57.					Sold	12/20/16	M	A	
58. PIMCO Income Fund Inst'l Class	C	Dividend	L	T	Sold (part)	01/20/16	J	A	
59.					Buy (add'l)	12/13/16	K		
60.					Sold (part)	12/21/16	J	A	
61. PIMCO Stock Plus International Fd		None			Buy (add'l)	01/19/16	J		
62.					Sold	03/08/16	K	A	
63. iShares TR Dow Jones US Real Estate Index Fund		None			Sold	03/08/16	K	C	
64. Pershing Gov't Money Market		None	J	T					
65. Advisory Research MLP & Energy	A	Dividend	K	T	Buy	12/21/16	K		
66. Angel Oak Multi Strategy Income Fd	D	Dividend			Sold (part)	01/20/16	J	A	
67.					Sold (part)	06/15/16	K	A	
68.					Buy (add'l)	12/14/16	K		

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69.					Sold	12/20/16	M	A	
70. Federated Strategic Value	A	Dividend	L	T	Buy	12/20/16	L		
71. Franklin Income Fund Advisor		None	L	T	Buy	12/20/16	L		
72. Mainstay High Yield Corporate Bond		None	L	T	Buy	12/20/16	L		
73. Pacific Funds Floating Rate	A	Dividend	L	T	Buy	12/20/16	L		
74. Stone Ridge All Asset Variance Risk	C	Dividend	K	T					
75. Stone Ridge Alternative Funding	C	Dividend	K	T	Buy	06/14/16	K		
76. Stone Ridge Reinsurance Risk	A	Dividend			Sold (part)	01/19/16	J	A	
77.					Merged (with line 78)	12/16/16	K		
78. Stone Ridge High Yield Reinsurance	B	Dividend			Sold (part)	01/19/16	J	A	
79.					Sold	12/13/16	L	A	
80. Stone Ridge US Master Variance	B	Dividend			Sold	12/20/16	K	B	
81. Stone Ridge Int'l Master Variance		None			Sold	06/14/16	K	A	
82. Stone Ridge Reinsurance Risk Premium	C	Dividend	L	T					
83. Summit Global Investments US	B	Dividend			Buy	06/14/16	L		
84.					Sold	12/20/16	L	A	
85. Thornburg Investment Income	A	Dividend	L	T	Buy	12/20/16	L		

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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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86. Versus Capital Multi-Manager	B	Dividend	L	T	Buy	03/08/16	K		
87.					Buy (add'l)	12/20/16	L		
88. Hamlin High Dividend Equity Fd	B	Dividend			Sold (part)	06/14/16	J	A	
89.					Sold	12/21/16	L	A	
90. IShares TR Barclays 7-10 Yr Treas	A	Dividend			Sold (part)	01/19/16	J	A	
91.					Sold (part)	12/13/16	K	A	
92.					Sold	12/20/16	K	A	
93. IShares TR Core US Aggregate Bond	B	Dividend			Buy	03/08/16	L		
94.					Sold (part)	12/13/16	K	A	
95.					Sold	12/20/16	K	A	
96. IShares TR Select Divid ETF	A	Dividend	K	T	Buy	12/20/16	K		
97. JP Morgan Chase & Co Alerian MLP	A	Dividend			Buy (add'l)	01/19/16	J		
98.					Sold	03/08/16	K	A	
99. Vanguard Specialized Portfolios	A	Dividend			Sold	12/20/16	L	D	
100. Vanguard Int'l Equity Index	B	Dividend			Buy (add'l)	01/19/16	J		
101.					Sold (part)	06/14/16	K	A	
102.					Sold	12/20/16	K	A	

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103. Blackrock Global Allocation Fd Inc		None			Sold	01/11/16	L	A	
104. Blackrock Total Return	C	Dividend			Buy	01/11/16	L		
105.					Sold	12/20/16	L	A	
106. Eagle Mid-Cap Growth	A	Dividend	K	T	Buy	12/20/16	K		
107. First Eagle Global Fund Class I	D	Dividend	M	T					
108. Franklin Income Fund Advisor Class	A	Dividend			Sold	01/11/16	L	A	
109. Fundamental Investors Class	C	Dividend	L	T	Buy	01/11/16	K		
110. JP Morgan Small-Cap Equity		None	K	T	Buy	12/20/16	K		
111. Loomis Sayles Strategic Income		None			Sold	01/11/16	L	A	
112. Templeton Global Bond Fd Advisor C1		None			Sold	01/11/16	K	A	
113. Wells Fargo advantage Absolute		None			Sold	12/21/16	L	B	
114. Alger Spectra Fund Class Z (formerly Alger Spectra Fund Class I)	A	Dividend	K	T					
115. Federated Strategic Value	D	Dividend	M	T					
116. Mainstay Unconstrained Bond	B	Dividend			Sold	12/20/16	L	A	
117. MFS Mid-Cap Value Fund Class I		None	K	T	Buy	12/20/16	K		
118. Metropolitan West Total Return	C	Dividend			Buy	01/11/16	L		
119.					Sold	12/20/16	L	A	

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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Name of Person Reporting

Flanagan, Louise W.

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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)

120. ISHARES TR Core S&P Mid-Cap	B	Dividend	M	T	Buy (add'l)	12/20/16	K		
121. ISHARES TR Core S&P Small-Cap	B	Dividend	M	T	Buy (add'l)	12/20/16	K		
122. SPDR S&P 500 ETF TR Unit	B	Dividend	M	T	Buy (add'l)	12/20/16	K		
123. Pershing Gov't Acct Money Market		None	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 \$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.)*

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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/ Louise W. Flanagan**

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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