

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) CAYER, DAVID S.	2. Court or Organization DISTRICT COURT - WDNC	3. Date of Report 11/29/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE (FT)	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 RM. 168 401 W. TRADE ST. 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.		
2.		
3.		
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.	2016	N.C. CONSOLIDATED JUDICIAL RETIREMENT SYSTEM, NO CONTROL
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

CAYER, DAVID S.

Date of Report

11/29/2017

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. 2016	CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT	\$67,900.00
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. LIBERTY UNIVERSITY	SEPT. 23-25, 2016	LYNCHBURG, VA	MOOT COURT	ROOM, BOARD, AND GAME TICKETS
2. FEDERAL BAR ASSOCIATION	DEC. 1-3, 2016	CHEROKEE, NC	EDUCATIONAL SEMINAR	LODGING
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

CAYER, DAVID S.

Date of Report

11/29/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

CAYER, DAVID S.

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11/29/2017

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. ETR:FME	A	Dividend	K	T					
2. NYSE:VZ	B	Dividend	K	T					
3. NYSE:SEE	A	Dividend	K	T					
4. NYSE:WMT	A	Dividend			Sold	06/27/16	J	A	
5. FIFTH THIRD - Savings	A	Interest	J	T					
6. TRUST #1									
7. -WELLS FARGO DEPOST ACCT	A	Interest	J	T					
8. -JP MORGAN HIGH YEILD FUND	A	Dividend	J	T	Buy	04/20/16	J		
9.					Buy (add'l)	08/26/16	J		
10.					Sold (part)	10/26/16	J	A	
11. -NUVEEN HIGH YIELD MUNI BOND	A	Dividend	J	T	Sold (part)	01/21/16	J	A	
12.					Buy (add'l)	04/20/16	J		
13.					Buy (add'l)	08/26/16	J		
14.					Sold (part)	10/26/16	J		
15. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND	A	Dividend	K	T	Sold (part)	01/21/16	J	A	
16.					Buy (add'l)	04/20/16	J		
17.					Buy (add'l)	05/18/16	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 ~\$250,000,001 - \$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 5 of 13

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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)
18.					Sold (part)	08/24/16	J	A	
19.					Buy (add'l)	10/06/16	J		
20.					Sold (part)	10/26/16	J		
21. -NUVEEN NC MUNI BOND	A	Dividend	J	T	Sold (part)	01/21/16	J	A	
22.					Sold (part)	04/18/16	J	A	
23.					Buy (add'l)	05/18/16	J		
24.					Sold (part)	08/24/16	J	A	
25.					Buy (add'l)	10/06/16	J		
26.					Sold (part)	10/26/16	J		
27. -T ROWE PRICE INST. FLOAT	A	Dividend	J	T	Sold (part)	01/21/16	J		
28.					Buy (add'l)	04/20/16	J		
29.					Sold (part)	10/26/16	J		
30. -FIDELITY ADVISORS EMERGING MARKETS	A	Dividend	J	T	Sold (part)	01/21/16	J		
31.					Sold (part)	04/18/16	J		
32.					Buy (add'l)	08/26/16	J		
33.					Sold (part)	10/26/16	J	A	
34. -AMERICAN CENTURY SMALL CAP GROWTH	A	Dividend	J	T	Buy (add'l)	01/25/16	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 \$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 6 of 13

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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)
35.					Sold (part)	04/18/16	J		
36.					Sold (part)	05/16/16	J		
37.					Buy (add'l)	08/26/16	J		
38.					Sold (part)	10/26/16	J		
39. -ARTISAN MID CAP FUND CLASS INS.			J	T	Buy (add'l)	01/25/16	J		
40.					Sold (part)	04/18/16	J		
41.					Sold (part)	08/24/16	J	A	
42.					Sold (part)	10/26/16	J	A	
43. -HARBOR CAPITAL APPRECIATION FUND	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
44.					Sold (part)	04/18/16	J		
45.					Buy (add'l)	05/18/16	J		
46.					Buy (add'l)	08/26/16	J		
47.					Sold (part)	10/26/16	J		
48. -JP MORGAN MID CAP VALUE FUND- CLASS 1	A	Dividend	J	T	Buy (add'l)	01/25/16	J		
49.					Sold (part)	04/18/16	J		
50.					Sold (part)	08/24/16	J	A	
51.					Sold (part)	10/26/16	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 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	L = \$50,001 - \$100,000 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

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52. -MFS VALUE FUND-CLASS I	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
53.					Sold (part)	04/18/16	J		
54.					Sold (part)	05/16/16	J	A	
55.					Buy (add'l)	08/26/16	J		
56.					Sold (part)	10/26/16	J		
57. -STERLING CAPITAL STRATTON SM-CP f.k.a. STRATTON SM-CAP VALUE FD	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
58.					Sold (part)	04/20/16	J		
59.					Sold (part)	05/16/16	J		
60.					Buy (add'l)	08/26/16	J		
61.					Sold (part)	10/26/16	J		
62. -ARTISAN INT'L FUND	A	Dividend	J	T	Sold (part)	04/18/16	J		
63.					Sold (part)	05/16/16	J		
64.					Sold (part)	08/24/16	J	A	
65.					Sold (part)	10/26/16	J	A	
66. -DODGE & COX INT'L STOCK	A	Dividend	J	T	Buy (add'l)	01/25/16	J		
67.					Sold (part)	04/18/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

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68.					Sold (part)	05/16/16	J		
69.					Sold (part)	08/24/16	J		
70.					Sold (part)	10/26/16	J	A	
71. -OPPENHEIMER DEVELOPING MKT	A	Dividend	J	T	Buy (add'l)	01/25/16	J		
72.					Sold (part)	04/18/16	J		
73.					Buy (add'l)	05/18/16	J		
74.					Sold (part)	08/24/16	J	A	
75.					Sold (part)	10/26/16	J	A	
76. -AQR MANAGED FUTURES STRATEGY FUND	A	Dividend	J	T	Sold (part)	01/21/16	J	A	
77.					Buy (add'l)	04/20/16	J		
78.					Buy (add'l)	08/26/16	J		
79.					Sold (part)	10/26/16	J		
80. -ASG GLOBAL ALTERNATIVES FUND CLASS			J	T	Sold (part)	01/21/16	J		
81.					Buy (add'l)	04/20/16	J		
82.					Sold (part)	08/24/16	J		
83.					Sold (part)	10/26/16	J		
84. -BLACKROCK GLOBAL LONG/SHORT CREDIT FUND	A	Dividend	J	T	Sold (part)	01/21/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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85.					Buy (add'l)	04/20/16	J		
86.					Buy (add'l)	08/26/16	J		
87.					Sold (part)	10/26/16	J		
88. -BOSTON PARTNERS LONG/SHORT RESEARCH FUND			J	T	Sold (part)	08/24/16	J	A	
89. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND	A	Dividend	J	T	Sold (part)	01/21/16	J		
90.					Buy (add'l)	04/20/16	J		
91.					Buy (add'l)	08/26/16	J		
92.					Sold (part)	10/26/16	J		
93. -NEUBERGER BERMAN LONG SH-INS	A	Dividend	J	T	Sold (part)	01/21/16	J		
94.					Sold (part)	04/18/16	J		
95.					Sold (part)	08/24/16	J		
96.					Sold (part)	10/26/16	J		
97. -MERGER FD SH BEN INT	A	Dividend	J	T	Buy (add'l)	04/20/16	J		
98.					Buy (add'l)	08/26/16	J		
99.					Sold (part)	10/26/16	J		
100. -CREDIT SUISSE COMMODITY RETURN			J	T	Buy (add'l)	01/25/16	J		
101.					Sold (part)	04/18/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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102.					Sold (part)	05/16/16	J		
103.					Sold (part)	08/24/16	J	A	
104.					Sold (part)	10/26/16	J	A	
105. -INVESCO BALANCED-RISK COMMODITY			J	T	Buy	08/26/16	J		
106.					Sold (part)	10/26/16	J	A	
107. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE			J	T	Sold (part)	01/25/16	J		
108.					Sold (part)	04/20/16	J	A	
109.					Sold (part)	08/26/16	J	A	
110.					Sold (part)	10/06/16	J	A	
111. -BARCLAYS BANK PLC I PATH BLOOMBERG CO.					Sold	01/25/16	J		
112. -ISHARES MSCI EMERGING MARKETS					Sold	01/25/16	J		
113. -ISHARES RUSSELL MID-CAP ETF					Sold	01/25/16	J		
114. -T ROWE PRICE REAL ESTATE FUND	A	Dividend	J	T	Sold (part)	04/18/16	J	A	
115. -VANGUARD REIT VIPER	A	Dividend	J	T	Sold (part)	01/25/16	J		
116.					Sold (part)	04/20/16	J	A	
117.					Sold (part)	05/18/16	J	A	
118.					Sold (part)	08/26/16	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 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

CAYER, DAVID S.

Date of Report

11/29/2017

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)
119.					Sold (part)	10/06/16	J	A	
120. IRA #1									
121. -AMER BALANCED FD	A	Dividend	J	T					
122. -INVESTMENT CO. AMERICA	A	Dividend	J	T					
123. NYSE:XOM	A	Dividend	J	T					
124. NASDAQ: FTR (Y)									
125. WELLS FARGO - Savings (Y)									
126. NYSE: GCP		None	J	T	Spinoff (from line 127)	02/03/16	J		
127. NYSE:GRA (X)	A	Dividend	K	T					
128. 401(k) #1: (X)									
129. -NC STABLE VALUE FUND	A	Int./Div.	J	T					
130. ROTH IRA #1 (X)									
131. -DEPOSIT ACCOUNT - CASH - TD Ameritrade	A	Int./Div.	J	T					
132.									

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	

Name of Person Reporting	Date of Report
CAYER, DAVID S.	11/29/2017

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

CAYER, DAVID S.

Date of Report

11/29/2017

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 S. CAYER**

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