

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) Gates, James E.	2. Court or Organization N.C.--Eastern District	3. Date of Report 05/14/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address Terry Sanford Federal Building and Courthouse 310 New Bern Avenue Raleigh, NC 27601		
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 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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.)*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. 2016

North Raleigh United Methodist Church--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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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. IRA Account #1 (H)									
2. --UBS Bank Account	A	Interest	L	T					
3. --Fundamental Investors (American Funds)	D	Dividend	M	T					
4. --Growth Fund of America (American Funds)	D	Dividend	M	T					
5. --Investment Co. of America (American Funds)	D	Dividend	M	T					
6. --New Economy Fund (American Funds)	C	Dividend	M	T					
7. --New Perspective Fund (American Funds)	C	Dividend	L	T					
8. --Small Cap World Fund (American Funds)	A	Dividend	K	T					
9. --Washington Mutual Investors Fund (American Funds)	D	Dividend	M	T					
10. --I Shares S&P Small Cap 600 Value Index Fund	A	Dividend	L	T					
11. --I Shares S&P Small Cap 600 Growth Index Fund	A	Dividend	L	T					
12. --I Shares S&P Mid Cap 400 Value Index Fund	A	Dividend	K	T					
13. --I Shares S&P Mid Cap 400 Growth Index Fund	A	Dividend	L	T					
14. --U.S. Treasury (I bonds, notes)	A	Interest	J	T					
15. --Oppenheimer International Bond Fund	A	Dividend	J	T					
16. --Franklin Templeton Global Bond Fund	A	Dividend	K	T					
17. --Delaware Limited Term Bond Fund	B	Dividend	M	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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)

18. --Victory Incore (formerly RS) Low Duration Bond Fund	B	Dividend	M	T					
19. --Euro Pacific Growth Fund (American Funds)	A	Dividend	K	T					
20. Brokerage Account (H)									
21. --Vanguard 500 Index Fund	B	Dividend	L	T	Buy (add'l)	03/11/16	J		
22. --Vanguard Small Cap Index Fund	A	Dividend	K	T	Buy (add'l)	03/11/16	J		
23. --Vanguard Mid Cap Index Fund	A	Dividend	K	T	Buy (add'l)	03/11/16	J		
24. --Vanguard Prime Money Market Fund	A	Dividend	M	T	Buy	01/08/16	M		
25.					Sold (part)	01/19/16	L	A	
26.					Buy (add'l)	03/11/16	K		
27. --Vanguard Health Care Fund	A	Dividend			Buy	01/08/16	K		
28.					Sold	10/25/16	K		
29. --Vanguard Tax Mangaged Balanced Admiral Fund	B	Dividend	L	T	Buy	01/08/16	K		
30.					Buy (add'l)	03/11/16	J		
31.					Buy (add'l)	10/25/16	K		
32. TRUST (H)									
33. --WELLS FARGO ADVISORS CASH AND SWEEP ACCOUNT	A	Distribution			Distributed (part)	01/07/16	P1	A	
34.					Distributed (part)	03/11/16	N	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 6 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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)
35.					Distributed (part)	11/16/16	L	A	
36. IRA ACCOUNT IN TRUST (H)									
37. --WELLS FARGO ADVISORS CASH AND SWEEP ACCOUNT	A	Interest			Closed	02/17/16	J		
38. --DEUTSCHE SECS TR GLOBAL REAL ESTATE SECS FD INSTL CLASS	A	Dividend			Distributed	02/17/16	J		
39. --EATON VANCE SER II INCOME FUND BOSTON CL 1	A	Distribution			Distributed	02/17/16	J		
40. --ADVISORS INNER CIRCLE EDGEWOOD GROWTH FUND INSTL CLASS	A	Distribution			Distributed	02/17/16	J		
41. --RS INVT TR SMALL CAP GROWTH FD CL Y	A	Distribution			Distributed	02/17/16	J		
42. --GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL	A	Distribution			Distributed	02/17/16	J		
43. --HARBOR FD INTL FD INSTL CL	A	Distribution			Distributed	02/17/16	J		
44. --HOTCHKIS & WILEY FDS DIVERSIFIED VALUE FUN 1	A	Dividend			Distributed	02/17/16	J		
45. --AMERICAN FUNDS WASHINGTON MUTUAL FD F2	A	Distribution			Distributed	02/17/16	J		
46. --JANUS INVT FD FLEXIBLE BD FD CLASS 1	A	Distribution			Distributed	02/17/16	J		
47. --LAZARD FDS INC EMERGING MKTS PORT INSTL SHS	A	Dividend			Distributed	02/17/16	J		
48. --MFS SER TRI VALUE FD CL 1	A	Distribution			Distributed	02/17/16	J		
49. --MASS INV TRUST CLASS A	A	Distribution			Distributed	02/17/16	J		
50. --AMERICAN EUROPACIFIC GROWTH FU CL F2	A	Dividend			Distributed	02/17/16	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 \$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 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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)
51. --OPPENHEIMER INTL GRWTH FD CL Y SHS	A	Dividend			Distributed	02/17/16	J		
52. --VIRTUS EMERGING MARKETS OPPORTUNITIESS FND CL I	A	Dividend			Distributed	02/17/16	J		
53. --PIMCO FDS PAC INVT MGMT SER-COMMODITY REAL RETURN STRAT FD INSTL CL	A	Dividend			Distributed	02/17/16	J		
54. --RAINIER FDS MID CAP EQUITY FD INSTL CL	A	Distribution			Distributed	02/17/16	J		
55. --RIDGEWORTH FDS MID-CAP VALUE EQUITY FD CLASS I	A	Distribution			Distributed	02/17/16	J		
56. --T ROWE PRICE REAL EST FUND INC	A	Dividend			Distributed	02/17/16	J		
57. --TOUCHSTONE INSTL FDS TR SANDS CAP INSTL GROWTH FD	A	Distribution			Distributed	02/17/16	J		
58. --VICTORY SYCAMORE SMALL CO OPPTY FD CL I	A	Distribution			Distributed	02/17/16	J		
59. MFS/SUN REGATTA PLATINUM VARIABLE ANNUITY IN IRA ACCT (H)									
60. --MFS EMERGING MARKETS EQUITY PO		None			Redeemed	02/01/16	K		
61. --MFS TOTAL RETURN SERIES INITIA		None			Redeemed	02/01/16	L		
62. --MFS INTERNATIONAL GROWTH PORTF		None			Redeemed	02/01/16	L		
63. --MFS CORPORATE BOND PORTFOLIO I		None			Redeemed	02/01/16	K		
64. --MFS INTERNATIONAL VALUE PORTFO		None			Redeemed	02/01/16	K		
65. --MFS RESEARCH INTERNATIONAL POR		None			Redeemed	02/01/16	K		
66. --MFS VIT UTILITIES SERIES INITI		None			Redeemed	02/01/16	K		

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
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 8 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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)
67. --MFS VIT VALUE SERIES INTIAL C		None			Redeemed	02/01/16	L		
68. IRA ACCOUNT #2 (H)(X)									
69. --DEUTSCHE SECS TR GLOBAL REAL ESTATE SECS FD INSTL CLASS	A	Dividend			Sold	05/04/16	J		
70. --EATON VANCE SER II INCOME FUND BOSTON CL 1	A	Distribution			Sold	05/04/16	J		
71. --ADVISORS INNER CIRCLE EDGEWOOD GROWTH FUND INSTL CLASS	A	Distribution			Sold	05/04/16	J		
72. --RS INVT TR SMALL CAP GROWTH FD CL Y	A	Distribution			Sold	05/04/16	J		
73. --GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL	A	Distribution			Sold	05/04/16	J		
74. --HARBOR FD INTL FD INSTL CL	A	Distribution			Sold	05/02/16	J		
75. --HOTCHKIS & WILEY FDS DIVERSIFIED VALUE FUN 1	A	Dividend			Sold	05/02/16	J		
76. --AMERICAN FUNDS WASHINGTON MUTUAL FD F2	A	Distribution			Sold	05/04/16	J		
77. --JANUS INVT FD FLEXIBLE BD FD CLASS 1	A	Distribution			Sold	05/02/16	J		
78. --LAZARD FDS INC EMERGING MKTS PORT INSTL SHS	A	Dividend			Sold	05/02/16	J		
79. --MFS SER TRI VALUE FD CL 1	A	Distribution			Sold	05/04/16	J		
80. --MASS INV TRUST CLASS A	A	Distribution			Sold	05/04/16	J		
81. --AMERICAN EUROPACIFIC GROWTH FU CL F2	A	Dividend			Sold	05/04/16	J		
82. --OPPENHEIMER INTL GRWTH FD CL Y SHS	A	Dividend			Sold	05/02/16	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 \$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 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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)
83. --VIRTUS EMERGING MARKETS OPPORTUNITIESS FND CL I	A	Dividend			Sold	05/04/16	J		
84. --PIMCO FDS PAC INVT MGMT SER- COMMODITY REAL RETURN STRAT FD INSTL CL	A	Dividend			Sold	05/02/16	J		
85. --RAINIER FDS MID CAP EQUITY FD INSTL CL	A	Distribution			Sold	05/02/16	J		
86. --RIDGEWORTH FDS MID-CAP VALUE EQUITY FD CLASS I	A	Distribution			Sold	05/02/16	J		
87. --T ROWE PRICE REAL EST FUND INC	A	Dividend			Sold	05/02/16	J		
88. --TOUCHSTONE INSTL FDS TR SANDS CAP INSTL GROWTH FD	A	Distribution			Sold	05/02/16	J		
89. --VICTORY SYCAMORE SMALL CO OPPTY FD CL I	A	Distribution			Sold	05/02/16	J		
90. --VANGUARD SMALL CAP INDEX ADMIRAL	A	Dividend	J	T	Buy	05/02/16	J		
91. --VANGUARD MIDCAP VALUE INDEX ADMIRAL	A	Dividend	J	T	Buy	05/02/16	J		
92. --VANGUARD 500 INDEX ADMIRAL	A	Dividend	K	T	Buy	05/02/16	K		
93. --VANGUARD SHORT TERM INVESTMENT GRADE	A	Dividend	K	T	Buy	05/03/16	K		
94. --VANGUARD PRIME MONEY MARKET	A	Dividend	K	T	Buy	05/09/16	K		
95. PUTNAM HARTFORD CAPITAL MANAGER VARIABLE ANNUITY(H) (X)									
96. --PUTNAM VT GBL ASSET ALLOC		None			Redeemed	02/05/16	J		
97. --PUTNAM VT GRWTH & INCM		None			Redeemed	02/05/16	J		
98. --PUTNAM VT HIYIELD		None			Redeemed	02/05/16	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 \$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 10 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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)
99. --PUTNAM VT INTL GRWTH		None			Redeemed	02/05/16	J		
100. --PUTNAM VT MNY MKT		None			Redeemed	02/05/16	J		
101. --PUTNAM VT MULTI CAP GRO		None			Redeemed	02/05/16	J		
102. --PUTNAM VT VOYAGER		None			Redeemed	02/05/16	J		
103. --PUTNAM VT GLB UTIL		None			Redeemed	02/05/16	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 11 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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

Part III.B., line 1. Spouse's income paid Jan. through May and Sept. through Dec. in reporting period.

Part VII, lines 36 to 67 and 68 to 94. [REDACTED] 25% interest in the assets in the IRA account listed in lines 36 to 67 were transferred into IRA account #2, which is the subject of lines 68 to 94, and then disposed of as indicated.

Part VII, Lines 95 to 103. On 2/05/16, the annuity subject to these lines was redeemed and entered the estate of the deceased annuitant (died 12/05/15), in which [REDACTED] had a 25% interest.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2017

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/ James E. Gates**

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