

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 07/25/2018
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 01/01/2017 to 12/31/2017
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.)

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. 2017	N.C. CONSOLIDATED JUDICIAL RETIRMENT SYSTEM, NO CONTROL
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT	\$67,200.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*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.

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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. ETR:FME	A	Dividend	K	T					
2. NYSE:VZ	B	Dividend	K	T					
3. NYSE:SEE	A	Dividend	K	T					
4.									
5. FIFTH THIRD - Savings	A	Interest	J	T					
6. TRUST #1									
7. -WELLS FARGO DEPOST ACCT	A	Interest	K	T					
8. -JP MORGAN HIGH YEILD FUND	A	Dividend	J	T	Sold (part)	01/19/17	J	A	
9.									
10.									
11. -NUVEEN HIGH YIELD MUNI BOND	A	Dividend	J	T	Sold (part)	01/19/17	J		
12.									
13.									
14. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND	A	Dividend	K	T	Buy (add'l)	01/19/17	J		
15.					Sold (part)	04/21/17	J		
16.					Buy (add'l)	10/24/17	J		
17.									

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 = \$250,000,001 - \$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	

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18.									
19.									
20.	-NUVEEN NC MUNI BOND	A	Dividend	J	T	Buy (add'l)	01/19/17	J	
21.						Buy (add'l)	04/25/17	J	
22.						Buy (add'l)	10/24/17	J	
23.									
24.	-T ROWE PRICE INST. FLOAT	A	Dividend	J	T	Sold (part)	01/19/17	J	
25.									
26.									
27.	-FIDELITY ADVISORS EMERGING MARKETS	A	Dividend	K	T	Buy (add'l)	01/19/17	J	
28.						Sold (part)	04/21/17	J	A
29.						Buy (add'l)	10/24/17	J	
30.									
31.	-AMERICAN CENTURY SMALL CAP GROWTH	A	Dividend	J	T	Sold (part)	01/19/17	J	A
32.						Sold (part)	04/21/17	J	A
33.						Sold (part)	05/25/17	J	A
34.									

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		

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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. -ARTISAN MID CAP FUND CLASS INS.	A	Dividend	J	T	Buy	01/19/17	J		
36.					Sold (part)	04/21/17	J	A	
37.					Sold (part)	10/24/17	J	A	
38.									
39.									
40. -HARBOR CAPITAL APPRECIATION FUND	A	Dividend	K	T	Sold (part)	01/19/17	J		
41.					Sold (part)	04/21/17	J	A	
42.					Sold (part)	10/24/17	J	A	
43.									
44. -JP MORGAN MID CAP VALUE FUND- CLASS L	A	Dividend	J	T	Sold (part)	04/21/17	J	A	
45.									
46.									
47.									
48. -MFS VALUE FUND-CLASS I	A	Dividend	K	T	Sold (part)	01/19/17	J	A	
49.					Sold (part)	04/21/17	J	A	
50.					Sold (part)	10/24/17	J	A	
51.									

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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	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	

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52.									
53.	-STERLING CAPITAL STRATTON SM-CP f.k.a. STRATTON SM-CAP VALUE FD	A	Dividend	J	T	Sold (part)	01/19/17	J	A
54.					Sold (part)	05/25/17	J	A	
55.									
56.									
57.	-ARTISAN INT'L FUND				Buy (add'l)	01/19/17	J		
58.					Sold	04/21/17	J	C	
59.									
60.	-DODGE & COX INT'L STOCK	A	Dividend	J	T	Sold (part)	01/19/17	J	A
61.					Sold (part)	04/21/17	J	A	
62.					Sold (part)	10/24/17	J	A	
63.									
64.									
65.	-OPPENHEIMER DEVELOPING MKT	A	Dividend	K	T	Buy (add'l)	01/19/17	J	
66.					Sold (part)	04/21/17	J	A	
67.					Sold (part)	10/24/17	J	A	

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68.									
69. -T ROWE PR OVERSEAS STOCK-I #521	A	Dividend	J	T	Buy	04/25/17	J		
70.					Sold (part)	10/24/17	J	A	
71.									
72.									
73. -AQR MANAGED FUTURES STRATEGY FUND	A	Dividend	J	T	Buy (add'l)	01/19/17	J		
74.					Buy (add'l)	04/25/17	J		
75.					Buy (add'l)	10/24/17	J		
76.									
77. -ASG GLOBAL ALTERNATIVES FUND CLASS		None	J	T	Sold (part)	01/19/17	J		
78.					Buy (add'l)	05/27/17	J		
79.									
80.									
81. -BLACKROCK GLOBAL LONG/SHORT CREDIT FUND	A	Dividend	J	T	Buy (add'l)	10/24/17	J		
82.									
83.									
84.									

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85. -BOSTON PARTNERS LONG/SHORT RESEARCH FUND					Sold (part)	04/21/17	J	A	
86.					Buy (add'l)	05/25/17	J		
87.					Sold	10/24/17	J	A	
88.									
89. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND	A	Dividend			Sold	10/24/17	J	A	
90.									
91. -EATON VANCE GLOBAL MARCO ABSOLUTE RETURN FUND #208	A	Dividend	J	T	Buy	10/24/17	J		
92.									
93. -JOHN HANCOCK FUND II-ABSOLUTE RETURN	A	Dividend	J	T	Buy	10/24/17	J		
94.									
95. -NEUBERGER BERMAN LONG SH-INS	A	Dividend	J	T	Sold (part)	04/21/17	J	A	
96.					Buy (add'l)	05/25/17	J		
97.					Buy (add'l)	10/24/17	J		
98.									
99. -MERGER FD SH BEN INT	A	Dividend			Buy (add'l)	05/25/17	J		
100.					Sold	10/24/17	J	A	
101.									

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102. -CREDIT SUISSE COMMODITY RETURN					Sold	01/19/17	J	A	
103.									
104. -INVESCO BALANCED-RISK COMMODITY					Sold	01/19/17	J	A	
105.									
106.									
107. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE	A	Dividend	J	T	Buy (add'l)	01/23/17	J		
108.					Sold (part)	04/25/17	J	A	
109.					Buy (add'l)	10/25/17	J		
110.									
111. -T ROWE PRICE REAL ESTATE FUND	A	Dividend	J	T	Buy (add'l)	01/19/17	J		
112.					Buy (add'l)	10/24/17	J		
113.									
114. -VANGUARD REIT VIPER	A	Dividend	J	T	Buy (add'l)	10/25/17	J		
115.									
116.									
117. IRA #1									
118. -AMER BALANCED FD	A	Dividend	K	T					

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119. -INVESTMENT CO. AMERICA	A	Dividend	K	T					
120.									
121. NYSE:XOM	A	Dividend	J	T					
122.									
123. WELLS FARGO - Savings	A	Int./Div.	J	T					
124.									
125. NYSE:GCP		None	J	T					
126.									
127. NYSE:GRA	A	Dividend	K	T					
128.									
129. 401(k) #1									
130. -NC STABLE VALUE FUND	A	Int./Div.	J	T					
131.									
132. ROTH IRA #1									
133. -DEPOSIT ACCOUNT - CASH - TD Ameritrade	A	Int./Div.	J	T					
134.									

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	

Name of Person Reporting	Date of Report
CAYER, DAVID S.	07/25/2018

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

CAYER, DAVID S.

Date of Report

07/25/2018

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