

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Keesler, David C.	2. Court or Organization N Carolina - District Court	3. Date of Report 10/15/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 401 West Trade Street Room 168 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. Insert signature on last page.		

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.	Trustee	Trust #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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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.

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. 2011

K. Interiors-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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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.	Trinity Episcopal School	Tuition	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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. WELLS FARGO (Y)									
2. IRA #1	C	Dividend	M	T					
3. -WILLIAM BLAIR FDS SMALL WBSIX					Sold	09/28/11	J		
4. -BRANDYWINE BLUE-FUND BLUEX					Sold	09/28/11	J		
5. -FRANKLIN VALUE INVS TR FVADX					Sold	09/28/11	J		
6. -GABELLI EQUITY SER FD GABSX					Sold	09/28/11	J		
7. -GOLDMAN SACHS TR FSMXX					Sold	10/17/11	J		
8. -HARBOR FUND CAP HACAX					Sold	09/28/11	J		
9. -AQR FDS ADAIX					Buy	09/28/11	J		
10. -BLAIR WILLIAM FDS BIGIX					Buy	09/28/11	J		
11. -DELAWARE GROUP DEUIX					Buy	09/29/11	J		
12. -EATON VANCE EIGMX					Buy	09/28/11	J		
13. -GOLDMAN SACHS TR FTIXX					Buy	09/28/11	J		
14. -HARBOR FUND HASCX					Buy	09/28/11	J		
15. -HARRIS ASSOC INVT TR OAKMARK INTL FD OAKIX					Sold (part)	09/28/11	J		
16. -HOTCHKIS & WILEY HWMIX					Buy	09/28/11	J		
17. -JANUS INVT FD JFLEX					Sold (part)	09/27/11	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 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	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

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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)

18.					Buy (add'l)	09/28/11	J		
19. -JOHN HANCOCK JCUIX					Buy	09/28/11	J		
20. -MORGAN STANLEY MPEGX					Buy	09/28/11	J		
21. -JP MORGAN TR 1 JLP SX					Buy	09/28/11	J		
22. -OPPENHEIMER DEV ODVYX					Buy	09/28/11	J		
23. -JPMORGAN TR 1 JPMNX					Buy	09/28/11	J		
24. -ARTIO GLOBAL INV FUNDS JIEIX					Sold	09/27/11	J		
25. -LAZARD FDS INC LZEMX					Sold	09/27/11	J		
26. -LEGG MASON VALUE TRUST TR INC NAV VALUE TR LMNVX					Sold	09/27/11	J		
27. -MFS SER TR MEIWX					Sold	09/27/11	J		
28. -NEUBERGER & BERMAN SMALL CAP NBMIX					Sold	09/27/11	J		
29. -OPPENHEIMER INT GROWTH FUND OIGYX					Sold	09/27/11	J		
30. -PIMCO FDS PAC INVT MGMT PTRRX					Buy (add'l)	09/28/11	J		
31. -PIMCO FDS FAC INVT PCRIX					Buy (add'l)	09/28/11	J		
32. -DREYFUS EMERGING DRPEX					Buy	09/28/11	J		
33. -RS INVT TR RSVAX					Sold	09/27/11	J		
34. -T ROWE PRICE TRREX									

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

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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. -TCW FDS INC TGSCX					Buy	09/28/11	J		
36. -TCW DIVERSIFIED VALUE TGDIX					Sold (part)	09/27/11	J		
37. -ROWE T PRICE MID CAP RPMGX					Sold	09/27/11	J		
38. -TURNER FDS TSPEX					Buy	09/27/11	J		
39. -NATIXIX FDS TR II ASFYX					Buy	09/28/11	J		
40. -METLIFE INVS USA C SHAR VARIABLE ANNUITY					Buy (add'l)	09/28/11	K		
41. IRA # 2	C	Dividend	M	T					
42. -JP MORGAN PRIME MONEY MARKET SWEEP-CAPITAL (X)									
43. -CHEVRON CORPORATION CVX									
44. -DEVON ENERGY CORP DVN					Sold	02/17/11	J		
45. -DISNEY WALT COMPANY DIS									
46. -EXXON MOBIL CORP XOM									
47. -GENERAL ELECTRIC COMPANY GE									
48. -INTEL CORP INTC					Sold	02/17/11	J		
49. -JOHNSON & JOHNSON JNJ									
50. -MICROSOFT CORP MSFT									
51. -PROCTER & GAMBLE CO PG									

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 7 of 13

Name of Person Reporting

Kessler, David C.

Date of Report

10/15/2012

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)
52. -SPDR GOLD TRUST GLD									
53. -UNITED STATES OIL FUND USO									
54. -DODGE & COX INTL STOCK FUND DODFX									
55. -GOLDMAN SACHS TR FINL SQUARE MMKT FSMXX					Sold (part)	02/17/11	J		
56. -JANUS INVT FD JMVAX									
57. -ARTIO INTERNATIONAL EQUITY JIEIX					Sold	02/17/11	J		
58. -PIMCO FDS PAC INVT PTTRX									
59. -ROYCE PREMIER FUND RPRWX									
60. -T ROWE PRICE MID CAP GROWTH FUND RPMGX									
61. -TEMPLETON FUNDS INCOME TGBAX									
62. -THORNBURG INTL TGVIX					Buy	02/17/11	J		
63. -VANGUARD TOTAL BD MKT VBMFX									
64. -VANGUARD/WINDSOR FUND VWNFX									
65. IRA #3	A	Dividend	J	T					
66. -COLUMBIA ACORN FUND CLASS C									
67. BROKERAGE ACCOUNT #1									
68. -WELLS FARGO BANK DEPOSIT SWEEP	A	Dividend	J	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 \$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 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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)
69. THE GROWTH FUND OF AMERICA 529C CGFCX	A	Dividend	J	T					
70. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
71. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
72. THE INCOME FUND OF AMERICA 529 CL C CIMCX	A	Dividend	J	T					
73. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
74. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	J	T					
75. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
76. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
77. THE INCOME FUND OF AMERICA 529 C CIMCX	A	Dividend	J	T					
78. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
79. BROKERAGE ACCOUNT #2									
80. -WELLS FARGO BANK DEPOSIT SWEEP (Y)									
81. -WELLS FARGO WFC	A	Dividend			Sold	06/28/11	J		
82. -AMER BALANCED FD INC BALCX	A	Dividend	J	T	Sold (part)	06/27/11	J		
83. BROKERAGE ACCOUNT # 3									
84. -WELLS FARGO BANK DEPOSIT SWEEP	A	Dividend			Distributed	06/30/11	J		
85. IRA #4	B	Dividend	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 ~\$250,000,001 - \$500,000,000	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 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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)

86. -AIM GLOBAL REAL ESTATE ARGYX									
87. -MANAGERS AMG FDS TMDPX					Buy	10/19/11	J		
88. -BLAIR WILLIAM FDS INTL GROWTH BIGIX					Sold (part)	10/18/11	J		
89. -CAMBIAR OPPORTUNITY FD CAMWX									
90. -DELAWARE GROUP ADVISOR FDS DEUIX									
91. -DREYFUS APPRECIATION FD INC DGAGX									
92. -DWS DREMAN SMALL CAP KDSSX					Sold (part)	10/18/11	J		
93. -GOLDMAN SACHS TR FINL SQUARE MMKT FSMXX					Sold	07/08/11	J		
94. -RS INVT TR EMERGING MKTS FD RSENX					Buy (add'l)	10/19/11	J		
95. -GOLDMAN SACHS TR FTIXX					Buy	10/18/11	J		
96. -JOHN HANCOCK CLASSIC JCPIX					Buy (add'l)	10/19/11	J		
97. -HARBOR INTERNATIONAL INSTL CL HAINX					Sold (part)	10/18/11	J		
98. -HOTCHKIS & WILEY FDS MID CAP HWMIX									
99. -ARTIO INTERNATIONAL EQUITY FD CLASS I JIEIX									
100. -KEELEY FDS INC SMALL KSCIX					Buy	10/18/11	J		
101. -LEGG MASON VALUE TRUST LMNVX									
102. -MORGAN STANLEY INSTL MPEGX									

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 10 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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)
103. -OPPENHEIMER DEV MKTS ODVYX									
104. -PIMCO FDS PAC INVT PCRIX									
105. -SECURITY EQUITY FD MID SEVAX									
106. -SENTINEL MUT FUNDS SMALL CO SIGWX									
107. -T ROWE PRICE MID CAP RPMGX					Sold	10/18/11	J		
108. -TOUCHSTONE LARGE CAP TIQIX									
109. -WELLS FARGO FDS TR SMALL WFGDX									
110. IRA # 5	A	Dividend	J	T					
111. -DAVIS NEW YORK VENTURE FUND INC CL C NYVCX									
112. TRUST #1									
113. -WELLS FARGO MONEY MARKET SECURED DEPOSIT ACCOUNT	A	Dividend			Distributed (part)	01/31/11	J		
114.					Distributed	08/17/11	K		
115. -PIMCO LOW DURATION FUND PTLDX	A	Dividend			Sold	01/31/11	J		
116. -WELLS FARGO ADVANTAGE NORTH CAROLINA TAX FREE	A	Dividend			Sold	07/19/11	K		
117. -DODGE & COX INTERNATIONAL STOCK DODGX	A	Dividend			Sold	07/19/11	J		
118. -GOLDMAN SACHS GROWTH GGOIX	A	Dividend			Sold	07/19/11	J		
119. -RIDGEWORTH MID CAP SMVTX	A	Dividend			Sold	07/19/11	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 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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. -WELLS FARGO ADVANTAGE STRATEGIC LARGE CAP ESGIX	A	Dividend			Sold	07/19/11	J		
121. -WESTPORT FDS SELECT CAP WPSCX	A	Dividend			Sold	07/19/11	J		
122. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG)	A	Interest	K	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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

LINE 1 UNDER REPORTING LIMIT

LINE 59 SYMBOL RYPRX HAS CHANGED TO RPRWX

LINE 80 UNDER REPORTING LIMIT

LINE 83 & 84 BROKERAGE ACCOUNT #3 CLOSED ON 06/30/2011

LINE 109 WELLS FARGO FDS TR WFGDX FORMERLY KNOWN AS WELLS FARGO FDS TR WMNIX

LINE 112 TRUST ACCOUNT #1 HAS ZERO BALANCE AS OF 08/17/2011

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Keesler, David C.

Date of Report

10/15/2012

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 C. Keesler**

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