

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/12/2019
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 01/01/2018 to 12/31/2018
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.		

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.)*

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. 2018

self-employed, interior designer

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.

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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. WELLS FARGO COMMON STOCK	A	Dividend			Sold	03/12/18	J		
2. IRA #1 (H)									
3. -DWS ENHANCED COMMODITY STRAT SKIRX	A	Dividend	J	T					
4. -FUNDVANTAGE TR GOTHAM ABSOLUTE RETURN GARIX	A	Dividend	J	T					
5. -EATON VANCE MUTUAL FDS TR GLOBAL MARCO ABSLT EGRX	A	Dividend	J	T					
6. -GABELLI EQUITY SER FD SML CAP GROWTH FUND GACIX	A	Dividend	K	T					
7. -GOLDMAN SACHS TR FTIXX	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
8. -HARTFORD MULT FDS INC MIDCAP FUND CL 1 HFMIX	A	Dividend	J	T	Sold (part)	06/08/18	J		
9. -JOHN HANCOCK JCUIX	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
10. -LAZARD FDS IM EQUITY PORT INSTL SHS LZIEIX	A	Dividend	K	T					
11. -MERIDIAN FD INC SMALL CAP GROWTH FD MISGX	A	Dividend	J	T	Sold (part)	06/08/18	J		
12. -JP MORGAN TR 1 JLPSX	A	Dividend	J	T	Sold (part)	06/11/18	J		
13. -MAINSTAY LARGE CAP GROWTH FD CL 1 MLAIX	A	Dividend	K	T	Sold (part)	06/08/18	J		
14. -PRINCIPAL FS INC GLOBAL MULTI STRATEGY FD INSTL CL PSMIX	A	Dividend	J	T					
15. -PRINCIPAL FUNDS INC GLOBAL REAL ESTATE POSIX	A	Dividend	J	T					
16. -NUVEEN INVT FDS INC REAL ESTATE SECS CL 1 FARCX	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
17. -BLACKROCK CORE BOND PORTFOLIO BFMCX	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 = \$250,001 - \$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	

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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. -OPPENHEIMER DEV ODVYX	A	Dividend			Sold (part)	06/08/18	J		
19. -PIMCO FDS PAC IVT MGMT SER EMERGING PEBIX	A	Dividend	J	T					
20. -PRINCIPAL FDS INC PHYTX	A	Dividend	J	T					
21. -TCW DIVERSIFIED VALUE TGDIX	A	Dividend	K	T					
22. -NATIXIS FDS TR II ASG ASFYX	A	Dividend	J	T	Buy	06/08/18	J		
23. -VIRTUS FUNDS EMG MARKETS OPPORTUNITIES FND CL I HIEMX	A	Dividend	J	T					
24. -WELLS FARGO FUNDS TR SPECIAL MID CAP VALUE FD CL I WFMIX	A	Dividend	J	T					
25. -BRIGHOUSE LIFE INS CO PROD C SHARE VARIABLE ANNUITY	A	Dividend	L	T					
26. IRA #3 (H)									
27. -COLUMBIA ACORN FUND CLASS C LIACX	A	Dividend			Sold	01/03/18	J		
28. -COLUMBIA ACORN FUND CLASS A LACAX	A	Dividend	J	T	Buy	12/12/18	J		
29. 529 PLAN #1 (H)									
30. AMERICAN FUNDS COLLEGE 2021 FUND 529C CTOCX	A	Dividend	J	T	Distributed (part)	12/04/18	J		
31.					Distributed	07/31/18	J		
32. CAPITAL WORLD GROWTH & INCOME FUND CL 529-A CWIAX	A	Dividend			Distributed	12/04/18	J		
33. GROWTH FD OF AMERICA INC CL 529- A CGFAX	A	Dividend			Distributed	12/04/18	J		
34. INCOME FD OF AMERICA 529 CL A CIMAX	A	Dividend			Distributed	12/04/18	J		

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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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	(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. INTERMEDIATE BOND FDS 529 CL A CBOAX	A	Dividend			Distributed	12/04/18	J		
36. WASHINGTON FUNDS MUTUAL INVS FD CL 529-A CWMAX	A	Dividend			Distributed	12/04/18	J		
37. 529 PLAN #2 (H)									
38. THE INCOME FUND OF AMERICA 529 CL A CIMCX	A	Dividend	J	T					
39. CAPITAL WORLD GROWTH & INCOME FUND CL 529-A CWIAX	A	Dividend	J	T					
40. GROWTH FD OF AMERICA INC CL 529-A CGFAX	A	Dividend	J	T					
41. INCOME FD OF AMERICA 529 CL A CIMAX	A	Dividend	J	T					
42. INTERMEDIATE BOND FDS 529 CL A CBOAX	A	Dividend	J	T					
43. WASHINGTON FUNDS MUTUAL INVS FD CL 529-A CWMAX	A	Dividend	J	T					
44. IRA #4 (H)									
45. -DSW ENHANCED COMMODITY STRAT SKIRX	A	Dividend	J	T					
46. -BLAIR WILLIAM FDS INTL GROWTH BIGIX	A	Dividend	J	T					
47. -EAGLE SMALL GAP GROWTH FUND CLASS I HSHX	A	Dividend	J	T					
48. -EATON VANCE SER II INCOME FUND INSTL CL EIBIX	A	Dividend	J	T					
49. -AMG FUNDS TIMESSQUARE MID CAP TQMIX	A	Dividend	J	T					
50. -FIRST EAGLE FUNDS SOGEN OVERSEAS FUND CLI SGOIX	A	Dividend			Sold	08/15/18	J		
51. -GOLDMAN SACHS TR FINL SQ TREAF TIXX	A	Dividend	J	T	Buy	02/13/18	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
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52. -HANCOCK JOHN CAP SER CLASSIC VALUE CL I JCVIX	A	Dividend	J	T					
53. -HARBOR INTERNATIONAL INSTL CL HAINX	A	Dividend			Sold	08/15/18	J		
54. -HOTCHKIS & WILEY FDS MID CAP HWMIX	A	Dividend	J	T					
55. -AMERICAN FUNDS WASHINGTON MUTUAL FD F2 WMFFX	A	Dividend	J	T					
56. -LAZARD FDS INC LZEMX	A	Dividend	J	T					
57. -MFS SER TR 1 VALUE FD CL 1 MEIIX	A	Dividend	J	T					
58. -MFS SER TR X EMERGING MKTS DEBT FD CLASS I MEDIX	A	Dividend	J	T					
59. -MAINSTAY LARGE CAP GROWTH FD CLASS I MLAIX	A	Dividend	J	T					
60. -WELLS FARGO FDS TR SMALL WEMIX	A	Dividend	J	T					
61. -PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECS FUND INSTL CLASS POSIX	A	Dividend	J	T					
62. -OPPENHEIMER DEV MKTS ODVYX	A	Dividend		T					
63. -T TOWE PRICE REAL EST FUND INC TRREX	A	Dividend	J	T	Buy (add'l)	02/13/18	J		
64. -T ROWE PRICE INTL FD OVERSEAS STK TROXX	A	Dividend	J	T	Buy	08/15/18	J		
65. -VICTORY PORTFOLIOS SMALL CO OPPTY FD VSOIX	A	Dividend	J	T					
66. -VOYA SER FD INC LARGE CAP GROWTH FD CL 1 PLCIX	A	Dividend	J	T					
67. -WELLS FARGO FDS TR CORE BOND FUND CLASS INST MBFIX	A	Dividend	J	T					

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68. IRA # 5 (H)									
69. -DAVIS NEW YORK VENTURE FUND INC CL C NYVCX	A	Dividend	J	T	Sold (part)	12/07/18	J		
70. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG)	A	Interest	J	T					
71. IRA #6 (H)									
72. -FRANKLIN SMALL MID CAP GROWTH C FRSGX	A	Dividend	J	T					
73. -SOUTH STATE COMMON STOCK	A	Dividend	J	T	Sold (part)	03/12/18	J		

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

Line 18 previously reported on line 5

Line 72 tickler change from FRSIX to FRSGX

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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/ **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