

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Beaty Jr., James A.	2. Court or Organization US District Court - 4th Cir.	3. Date of Report 05/13/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 251 N. Main Street - Suite 248 Winston-Salem, N.C. 27101-3984	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign 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. Foundation Board Member	Western Carolina University
2. Board of Trustees	Senior Services of Forsyth County
3. Board Member	New Winston Museum
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.	

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Beaty Jr., James A.

FINANCIAL DISCLOSURE REPORT
Page 2 of 8

Name of Person Reporting
Beaty Jr., James A.

Date of Report
05/13/2010

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. 2009	NC Judicial Retirement Vested Benefit	\$31,342.00
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. 2009	The Speech Center-Clerical
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Beaty Jr., James A.

Date of Report

05/13/2010

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 8

Name of Person Reporting

Beatty Jr., James A.

Date of Report

05/13/2010

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. Wachovia Brokerage IRA	B	Dividend	K	T					
2. -Citigroup Common Stock									
3. -Microsoft Common Stock									
4. -General Electric Common Stock									
5. -Omega Health Prop. Common Stock									
6. -Lithium Technology/Common Stock									
7. -Progress Energy Common Stock									
8. -Precision Drilling Company Common Stock									
9. Duke Energy, Common Stock	A	Dividend	J	T					
10. Spectra Energy Common Stock	A	Dividend	J	T					
11. Bank of America Investment Services, Inc. (IRA)	A	Dividend	M	T					
12. -Columbia Cash Reserve Daily									
13. -Federated Bond Class A									
14. -Federated American Leaders Class Mutual Fund									
15. -Federated Capital Appreciation Class A Mutual Fund									
16. -Federated INT'L Value Class A Mutual Fund									
17. -Federated Kaufman Class A									

1. Income Gain Codes (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Rea. Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Beaty Jr., James A.

Date of Report

05/13/2010

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18. Fed. Strat. Val. Fund Class A Mut. Fund									
19. CSX, Corp., Common Stock	A	Dividend	J	T					
20. Exxon Mobil Common Stock	A	Dividend	J	T					
21. Bell South/A T & T	A	Dividend	J	T					
22. Equitable Variable-Alliance Common Stock Fund	A	Dividend	J	T					
23. AXA Equitable-Incentive Life/Mod. Common Fund	A	Dividend	K	T					
24. Bank of America/Savings Acct.	A	Interest	J	T					
25. Wachovia B&T/Cert. of Deposit	A	Interest			Closed	11/10/09	K	A	
26. Vacant Real Estate Forsyth, NC /Parcel		None	J	W					
27. Vacant Real Estate/Parcel 2		None	K	W					
28. Vacant Real Estate/Union, SC		None	K	W					
29. NewBridge Bank FastForward Checking Acct (X)	A	Interest	M	T	Open	10/13/09	M		
30. Palmetto Citizens Fed. Credit Union Money Market (X)	A	Interest	J	T	Open	10/08/09	J		
31. Palmetto Citizens Federal Credit Union CD (X)	A	Interest	K	T	Open	10/08/09	K		
32. Wachovia B&T CD (X)	A	Interest	J	T	Open	09/20/09	J		
33. Wachovia B&T CD (X)	A	Interest	K	T	Open	09/20/09	K		
34. Wachovia B & T Checking (X)	A	Interest	K	T	Open	09/20/09	K		

1. Income Class Codes:

(See Columns B1 and B4)

2. Value Codes:

(See Columns C1 and C3)

3. Value Method Codes:

(See Column C2)

A = \$1,000 or less

I = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

I2 = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$3,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$3,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Beatty Jr., James A.

Date of Report

05/13/2010

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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. Wachovia B& T Money Market (X)	A	Interest	J	T	Open	10/13/09	J		
36. First National Bank CD (X)	A	Interest	J	T	Open	09/20/09	J		
37. First National Bank CD (X)	A	Interest	J	T	Open	09/20/09	J		
38. First National Bank CD (X)	A	Interest	J	T	Open	09/20/09	J		
39. First National Bank CD (X)	A	Interest	K	T	Open	09/20/09	K		

1. Income/Gain Codes. (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Beaty Jr., James A.

Date of Report

05/13/2010

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

Part VII. Items 29-39 are all exempt transactions. To the extent they became reportable assets during the reporting period they are now being listed to show their value as of the last date of the reporting period.

FINANCIAL DISCLOSURE REPORT
Page 8 of 8

Name of Person Reporting
Beaty Jr., James A.

Date of Report
05/13/2010

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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544