

Allyson K. Duncan
United States Court of Appeals
234A Terry Sanford Federal Building
310 New Bern Avenue
Raleigh, NC 27601

September 23, 2004

Ms. Mary M. Lisi, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL
DISCLOSURE OFFICE

2004 SEP 29 A 11:20

RECEIVED

Dear Ms. Lisi:

Enclosed herewith please find your letter dated August 9, 2004 regarding the 2003 Financial Disclosure Report for the year ended December 31, 2003. My nomination report dated June 11, 2003 reflected financial activities from January 1, 2002 through April 1, 2003. Therefore, in order to properly trace these transactions, my 2003 disclosure reporting box 6 on page 1 should actually reflect a reporting period of April 1, 2003 through December 31, 2003, rather than the calendar year 2003. Required responses/changes to my disclosure reports are as follows:

Nomination report, Part VII;

Line 3 Kaufman Mutual Fund was inadvertently listed but was sold in 1997 and should be deleted from the nomination report.

Line 17 American Century Ultra was listed twice. Therefore, line 17 should be deleted. It was also listed on line 2 and will remain there.

Line 2 American Century Ultra column B(1) should be changed to A.

Disclosure report for 2003, Part VII;

Add on line 31, (A) Monetta Mutual Fund, B(1) is A, B(2) is Dividend, D(1) is sell, D(2) is 5/15, D(3) is J, and D(4) is A.

Add on line 32, (A) Motorola Corporation, B(1) is A, B(2) is Dividend, D(1) is sell, D(2) is 4/9, D(3) is J, and D(4) is A.

Add on line 33, (A) Service Master, B(1) is A, B(2) is Dividend, D(1) is sell, D(2) is 4/8, D(3) is J, and D(4) is A.

Add on line 34, (A) Olde Money Market Fund, B(1) is A, B(2) is Dividend, D(1) is sell, D(2) is 5/18, D(3) is L, and D(4) is A.

Should you need any additional information please do not hesitate to contact me.

Sincerely,



Allyson K. Duncan

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Duncan, Allyson K	2. Court or Organization U.S. Court of Appeals, 4th Cir	3. Date of Report 5/15/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 310 New Bern Avenue, Suite 234 Raleigh, NC 27601	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. President - Elect

North Carolina Bar Association

2. Non-Equity Partner

Kilpatrick Stockton, LLP

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Duncan, Allyson K

Date of Report

5/15/2004

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>GROSS INCOME</u> (yours, not spouse's)
1.	2003	Royalty - West Group	13.84
2.	2003	Kilpatrick Stockton, LLP	187,399
3.	2003	North Carolina State Bar Association	5,000.00
4.	2003	Sale of timber	1,527.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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.		

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>
1.		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Duncan, Allyson K

Date of Report

5/15/2014

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ NONE - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ NONE - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

FINANCIAL DISCLOSURE REPORT

Page 1 of 2

Name of Person Reporting
Duncan, Allyson K

Date of Report
5/15/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Guardian Fund	A	Dividend	J	T					
2. American Century Ultra	A	Dividend	J	T	Part sale	4/22		B	
3. Fidelity Gov't Res. Money Market	A	Dividend	J	T					
4. Fidelity Puritan Mutual Fund	A	Dividend	K	T	Part sale	4/22		C	
5. Janus Mutual Fund	A	Dividend	J	T	Part sale	4/22		B	
6. Janus 20 Mutual Fund	A	Dividend	J	T	Part sale	4/22		B	
7. Wachovia - Time Deposit	A	Dividend	J	T					
8. Paine Webber Cash Fund	A	Dividend	J	T					
9. Vanguard 500 Index Fund	A	Dividend	J	T					
10. Legg Mason Mutual Fund Special Investment Trust	A	Dividend	K	T					
11. AFLAC Common Stock	A	Dividend	J	T					
12. Mutual Shares Mutual Fund	A	Dividend	K	T					
13. Fidelity Equity Income Fund	A	Dividend	K	T					
14. TWA Bond	A	Dividend	J	T					
15. Lehman Bros. Bond	A	Dividend	J	T					
16. US Treasury Sec. Stripped Bond	A	Dividend	J	T					
17. Intel Common Stock	A	Dividend	J	T					
18. North State Bank Accounts	A	Interest	M	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 D5)	J = \$15,000 or less N = \$250,000-\$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 = Cost/Market	

-- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-37 of filing instructions.)

Place "(X)" after each asset exempt from prior disclosure		(1)	(2)	(1)	(2)	Type (e.g. buy, sell, merger, redemption)	If not			
		Amount Code 1 (A-H)	Type (e.g. div. rent or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)		(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19.	EV Classic Senior Floating Rate	A	Dividend	K	T					
20.	State Employees Credit Union Account	A	Interest	J	T					
21.	Vanguard Index Fund	A	Dividend	J	T					
22.	Charlotte Mecklenburg NC	A	Dividend	J	T	sell	04/03	J	A	
23.	North Carolina MPA No. 1	A	Dividend	J	T	sell	01/15	J	A	
24.	Charlotte Mecklenburg Hospital	A	Dividend	J	T					
25.	Vanguard Growth & Income (X)	A	Dividend	J	T					
26.	USB Pac International Equity Fund (X)	A	Dividend	J	T					
27.	Gov Securities Investment Fund	A	Dividend	L	T					
28.	Common Stock Index Investment Fund	A	Dividend	M	T					
29.	Small Capitalization Stock Index Investment Fund	A	Dividend	L	T					
30.	International Stock Index Investment Fund	A	Dividend	L	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-\$30,000	L = \$30,001-\$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 = \$50,000,001-\$100,000,000		
3. Value Method Codes:	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	Y = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Duncan, Allyson K

Date of Report

5/15/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Item # 7 - first Union Mutual Fund Time Deposits has changed its name to Wachovia Time Deposits

Item #22 - UBS Financial Services-Charlotte Mecklenburg NC - was inadvertently not shown on prior report

Item #23 - Merrill Lynch-North Carolina MPA No 1 - This information came to light during the preparation of my Financial Declaration.

Item #24 - Charlotte Mecklenburg Hospital - was inadvertently not shown on prior report

Item # 27, 28, 29 & 30 were inadvertently omitted on previous reports.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Duncan, Allyson K

Date of Report

5/15/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

6/7/04

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