

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Swank, Kimberly A.	2. Court or Organization US District Court, Eastern District of North Carolina	3. Date of Report 08/08/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge - Part-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address US Courthouse Annex 215 South Evans Street Greenville, NC 27858		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Executive Committee Member	NC Conference of Bar Presidents, NC State Bar
2.	Treasurer	Parent Service Association, [REDACTED]
3.	Committee Member	Cub Scout Pack 999
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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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

Vidant Medical Center - 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<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.	BB&T	Credit Card	None
2.		Tuition	None
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. State Employees' Credit Union accounts	A	Int./Div.	K	T					
2. PNC Bank account	A	Interest	J	T					
3. Rental Property, Greenville NC (2001 \$280,000)	E	Rent	N	R					
4. Brokerage Acct #1 (IRA) (H)									
5. --AFS Intl Growth	A	Dividend	J	T	Buy	02/11/13	J		
6. --Alger Sm/Mid Cap Growth	A	Distribution	J	T					
7. --Delaware Select Growth Fund	A	Distribution	J	T					
8. --Dreman Contrarian High Opportunity Fund (Y)									
9. --Eaton Vance Large Cap Value	A	Dividend	J	T					
10.	A	Distribution							
11. --Goldman Sachs Comm Strat		None	J	T					
12. --Harbor Capital Appreciation Fund Instl	A	Dividend	J	T					
13.	A	Distribution							
14. --Harbor Int'l Fund Instl	A	Dividend	J	T	Sold (part)	02/11/13	J	B	
15. --Harbor Intl Growth Fund Instl (Y)									
16. --Hotchkis & Wiley Mid Cap Val	A	Dividend	J	T					
17. --Invesco Growth & Income	A	Dividend	J	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 - \$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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18.	A	Distribution							
19. --John Hancock Classic Value	A	Dividend	J	T	Sold (part)	02/11/13	J	A	
20. --John Hancock Disciplined Value Mid Cap	A	Dividend	J	T					
21.	A	Distribution							
22. --JP Morgan Fed Money Mkt	A	Distribution	J	T	Buy (add'l)	08/20/13	J		
23. --Lazard Dev Mkts Eqty	A	Dividend	J	T	Buy	01/30/13	J		
24. --MainStay Cornerstone Growth	A	Dividend	J	T	Buy	05/01/13	J		
25.	A	Distribution							
26. --MainStay ICAP Int'l I	A	Dividend	J	T	Sold (part)	02/11/13	J	A	
27. --Morgan Stanley Glob Real Est	A	Dividend	J	T					
28. --Munder Veracity Sm Cap Val	A	Dividend	J	T					
29. --Oppenheimer Int'l Growth	A	Dividend	J	T					
30. --Pioneer Fund (Y)									
31. --Rainier Mid Cap Equity	A	Distribution	J	T					
32. --RS Emerging Mkts		None			Sold	01/30/13	J	A	
33. --Sentinel Funds Common Stock	A	Dividend	J	T					
34.	A	Distribution							

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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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35. --T Rowe Price Int'l Stock	A	Dividend	J	T	Buy (add'l)	02/11/13	J		
36. --Turner Large Growth		None			Sold (part)	02/11/13	J	A	
37.					Sold	05/01/13	J	A	
38. ING Index Plus LargeCap Portfolio I		None	K	T					
39. Investment Co of America Fund Class A	A	Dividend	J	T					
40.	A	Distribution							
41. Brokerage Acct #2 (H)									
42. --Col Mid Cap Value Z (Y)									
43. --Fidelity Balanced Fund	D	Dividend	M	T	Buy (add'l)	09/18/13	J		
44. --Fidelity Magellan Fund (Y)									
45. --Invesco Comstock Fund Class A	A	Dividend	K	T					
46. --Touchstone MidCap Value Instl Class	A	Dividend	J	T					
47. -- T Rowe Price Blue Chip Growth Fund		None	K	T					
48. Brokerage Acct #3 (H)									
49. --ABBV	A	Dividend	J	T					
50. --ABT	A	Dividend	J	T					
51. --CSCO	A	Dividend	J	T					

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52. --D	A	Dividend	J	T					
53. --HSP (Y)									
54. --MSFT	A	Dividend	J	T					
55. --Janus Enterprise Fund JAENX	A	Dividend	J	T					
56. --Old Mut Advisors FDS II OBFVX (Y)									
57. --Vanguard 500 Index Fund VFINX	A	Dividend	K	T					
58. --Touchstone Strategic Tr Focused Fund TFFYX	A	Dividend	J	T					
59. --JP Morgan Tr II Liquid Assets Money Mkt JLEXX	A	Dividend	J	T					
60. Equitable Variable Life	A	Interest	J	T					
61. NC 529 Plans, Growth Portfolio & Mod Growth Portfolio		None	L	T					
62.									
63.									
64.									
65.									
66.									
67.									
68.									

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

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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/ **Kimberly A. Swank**

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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One Columbus Circle, N.E.
Washington, D.C. 20544