

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) CAYER, DAVID S.	2. Court or Organization DISTRICT COURT - WDNC	3. Date of Report 08/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE (FT)	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 RM. 168 401 W. TRADE ST. 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.	2018	N.C. CONSOLIDATED JUDICIAL RETIREMENT SYSTEM, NO CONTROL
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. 2018	CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT	\$68,200.00
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.)*

DATE	SOURCE AND TYPE
1.	
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. LIBERTY UNIVERSITY	SEPTEMBER 21-23, 2018	LYNCHBURG, VA	MOOT COURT	ROOM, BOARD, AND GAME TICKET
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.		
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. ETR:FME	A	Dividend	K	T					
2. NYSE:VZ	B	Dividend	K	T					
3. NYSE:SEE	A	Dividend	J	T					
4.									
5. FIFTH THIRD - Savings	A	Interest	J	T					
6. TRUST #1 (H)									
7. -WELLS FARGO DEPOST ACCT	A	Interest	K	T					
8. -JP MORGAN HIGH YEILD FUND	A	Dividend	J	T					
9.									
10.									
11. -NUVEEN HIGH YIELD MUNI BOND	A	Dividend	J	T					
12.									
13.									
14. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND	A	Dividend	J	T	Sold (part)	01/26/18	J		
15.					Sold (part)	04/20/18	J		
16.					Sold (part)	08/03/18	J		
17.					Sold (part)	09/26/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	

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18.									
19.									
20. -NUVEEN NC MUNI BOND	A	Dividend	J	T	Sold (part)	01/26/18	J		
21.					Sold (part)	04/20/18	J		
22.					Sold (part)	09/26/18	J		
23.									
24. -T ROWE PRICE INST. FLOAT	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
25.									
26.									
27. -FIDELITY ADVISORS EMERGING MARKETS - FIDELITY NEW MARKETS INCOME FUND	A	Dividend	K	T	Buy (add'l)	01/29/18	J		
28.					Buy (add'l)	08/03/18	J		
29.					Buy (add'l)	09/26/18	J		
30.					Sold (part)	04/20/18	J		
31.									
32.									
33. TCW EMRG MKTS INCM-I 4721	A	Dividend	J	T	Buy	07/13/18	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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34.					Buy	09/26/18	J		
35.									
36. -AMERICAN CENTURY SMALL CAP GROWTH	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
37.					Sold (part)	04/20/18	J	A	
38.					Sold (part)	08/03/18	J	A	
39.									
40. -ARTISAN MID CAP FUND CLASS INS.	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
41.					Sold (part)	04/20/18	J		
42.					Sold (part)	08/03/18	J	A	
43.					Sold (part)	09/26/18	J	A	
44.					Sold (part)	12/19/18	J		
45.									
46.									
47. -HARBOR CAPITAL APPRECIATION FUND	A	Dividend	K	T	Buy (add'l)	01/29/18	J		
48.					Sold (part)	04/20/18	J	A	
49.					Sold (part)	08/03/18	J	A	
50.					Sold (part)	09/26/18	J	A	

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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51.									
52. ISHARES CORE S&P 500ETF	A	Dividend	J	T	Buy	11/19/18	J		
53.									
54. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend	J	T	Buy	12/20/18	J		
55.									
56. -JP MORGAN MID CAP VALUE FUND- CLASS L	A	Dividend	J	T	Sold (part)	08/03/18	J	A	
57.					Sold (part)	09/26/18	J	A	
58.									
59.									
60. -MFS VALUE FUND-CLASS I	A	Dividend	K	T	Buy (add'l)	04/23/18	J		
61.					Sold (part)	01/26/18	J	A	
62.					Sold (part)	08/03/18	J	A	
63.					Sold (part)	09/26/18	J	A	
64.									
65.									
66. STRATTON SM-CAP VALUE FD N/K/A STERLING CAPITAL STRATTON SM-CP	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
67.					Buy (add'l)	09/26/18	J		

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68.					Sold (part)	08/03/18	J		
69.									
70.									
71. -DODGE & COX INT'L STOCK	A	Dividend	J	T	Buy (add'l)	08/03/18	J		
72.					Buy (add'l)	09/26/18	J		
73.					Sold (part)	01/26/18	J	A	
74.									
75.									
76. ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend	J	T	Buy	09/27/18	J		
77.									
78.									
79. -OPPENHEIMER DEVELOPING MKT	A	Dividend	J	T	Buy (add'l)	08/03/18	J		
80.					Buy (add'l)	09/26/18	J		
81.					Sold (part)	01/26/18	J	A	
82.									
83. -T ROWE PR OVERSEAS STOCK-I #521	A	Dividend	J	T	Buy (add'l)	09/26/18	J		
84.					Sold (part)	04/20/18	J	A	

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85.									
86.									
87.	-AQR MANAGED FUTURES STRATEGY FUND	A	Dividend	J	T	Buy (add'l)	08/03/18	J	
88.					Sold (part)	01/26/18	J		
89.					Sold (part)	12/19/18	J		
90.									
91.	-ASG GLOBAL ALTERNATIVES FUND CLASS	A	Dividend	J	T				
92.									
93.									
94.	ASG MANAGED FUTURES STRATEGY FUND		None	J	T	Buy	12/19/18	J	
95.									
96.									
97.	-BLACKROCK GLOBAL LONG/SHORT CREDIT FUND	A	Dividend	J	T	Buy (add'l)	01/29/18	J	
98.					Sold (part)	04/20/18	J		
99.					Sold (part)	09/26/18	J		
100.									
101.									

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102. -EATON VANCE GLOBAL MARCO ABSOLUTE RETURN FUND #208	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
103.					Buy (add'l)	09/26/18	J		
104.					Sold (part)	04/20/18	J		
105.					Sold (part)	12/19/18	J		
106.									
107.									
108. EATON VANCE GLOBAL MARCO ABSOLUTE FUND#0088	A	Dividend	J	T	Buy	12/19/18	J		
109.									
110.									
111. -JOHN HANCOCK FUND II-ABSOLUTE RETURN	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
112.					Buy (add'l)	08/03/18	J		
113.					Sold (part)	04/20/18	J		
114.									
115.									
116. -NEUBERGER BERMAN LONG SH-INS	A	Dividend	J	T	Sold (part)	01/26/18	J	A	
117.					Sold (part)	04/20/18	J	A	
118.					Sold (part)	08/03/18	J	A	

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119.					Sold (part)	09/26/18	J	A	
120.									
121.									
122.									
123. INVESCO BALANCED RISK COMMODITY STRATEGY FUND CLASS Y #8611	A	Dividend	J	T	Buy	09/26/18	J		
124.									
125.									
126.									
127. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE	A	Dividend	J	T	Buy (add'l)	09/27/18	J		
128.					Sold (part)	01/29/18	J	A	
129.					Sold (part)	04/23/18	J	A	
130.					Sold (part)	07/13/18	J	A	
131.					Sold (part)	11/19/18	J	A	
132.									
133.									
134. -T ROWE PRICE REAL ESTATE FUND	A	Dividend	J	T	Buy (add'l)	01/29/18	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
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	

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CAYER, DAVID S.

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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)
135.					Sold (part)	07/12/18	J		
136.					Sold (part)	11/16/18	J		
137.									
138.									
139.									
140. -VANGUARD REIT VIPER					Buy (add'l)	01/29/18	J		
141.					Sold	07/13/18	J	B	
142.									
143. IRA #1 (H)									
144. -AMER BALANCED FD	A	Dividend	K	T					
145. -INVESTMENT CO. AMERICA	A	Dividend	K	T					
146.									
147. NYSE:XOM	A	Dividend	J	T					
148.									
149. WELLS FARGO - Savings	A	Int./Div.	J	T					
150.									
151. NYSE: GCP		None	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 \$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	

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CAYER, DAVID S.

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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)
152.									
153. NYSE:GRA	A	Dividend	K	T					
154.									
155. 401(k) #1 (H)									
156. -NC STABLE VALUE FUND	A	Int./Div.	J	T					
157.									
158. ROTH IRA #1 (H)									
159. -DEPOSIT ACCOUNT - CASH - TD Ameritrade	A	Int./Div.	J	T					
160.									

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 (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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/ DAVID S. CAYER**

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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