

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) Numbers, Robert T.	2. Court or Organization U.S. District Court, Eastern District North Carolina	3. Date of Report 03/18/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 United States District Court Terry Sanford Federal Building 310 New Bern Ave. Raleigh, NC 27601-1418		
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.		
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.

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. Federalist Society

March 1-4, 2018

New Orleans, LA

Speech

Transportation and lodging

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.	NelNet Student Loan #1	Law School Loan	K
2.	NelNet Student Loan #2	Law School Loan	J
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. Retirement Account #1 (H)									
2. Vanguard Institutional Index Fund Institutional Shares	A	Int./Div.	J	T					
3. Vang Target Ret 2045 Inv. (Y)									
4. Retirement Account #2 (H)									
5. TD Bank (cash account) (Y)									
6. DFA Select Hedge Gbl Fixed Income Fund (DFSHX)	A	Dividend	K	T	Buy (add'l)	01/24/18	J		
7.					Sold (part)	06/15/18	J		
8. DFA Inflation Protected Sec PTF (DIPSX)	A	Dividend	J	T					
9. DFA International Core Equ PTF (DFIEX)	A	Dividend	K	T					
10. DFA US Vector Eq (DFVEX)	C	Dividend	L	T					
11. DFA US Core Equity 2 (DFQTX)	B	Dividend	L	T	Sold (part)	06/15/18	J		
12. DFA Emerging Markets Core Equity 1 (DFCEX)	A	Dividend	K	T					
13. DFA World Ex US Govt Fix Inc Inst (DWFIX)		None			Sold	06/15/18	J		
14. DFA Investment Grade PTF (DFAPX)	A	Dividend	K	T	Sold (part)	06/15/18	J		
15. DFA Short Term Ext Quality PTF (DFEQX)	A	Dividend	J	T					
16. DFA Intl Vector Equity Portfolio (DFVQX)	A	Dividend	K	T					
17. DFA Global Real Estate Sec PTF (DFGEX)	B	Dividend	K	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
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	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	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. DFA GI Core Plus Fix In Port I (DGCFFX)	B	Dividend	K	T	Buy	06/15/18	K		
19. DFA International Value I (DFIVX)	B	Dividend	K	T					
20. College Foundation of North Carolina Account #1 (H)									
21. Vanguard Aggressive Track Age-Based Portfolio (X)		None	J	T					
22. Vanguard Conservative Track Age-Based Portfolio		None	J	T					
23. Vanguard Moderate Track Age-Based Portfolio		None	J	T					
24. College Foundation of North Carolina Account #2 (H)									
25. Vanguard Conservative Track Age-Based Portfolio		None	J	T					
26. Vanguard Moderate Track Age-Based Portfolio		None	J	T					
27. RiverSource Variable Universal Life IV ES Insurance (H)									
28. Columbia Variable Portfolio Intermediate Bond Fund (Class 3) (Y)									
29. Columbia Variable Portfolio Dividend Opportunity Fund (Class 3) (Y)									
30. AllianceBernstein VPS International Value Portfolio (Y)									
31. AllianceBernstein VPS Growth & Income Portfolio (Y)									
32. Fidelity VIP Mid Cap Portfolio Service Class 2 (Y)									
33. FTVIP Franklin Global Real Estate VIP Fund - Class 2 (Y)									
34. Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares (Y)									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Wanger USA (Y)									
36. Misc. Holdings (H)									
37. Wells Fargo Accounts (Y)									
38. Land in Cary, North Carolina		None	N	W					

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

Part VII, lines 22, 23, 25, and 26: Name changes only; see 2017, lines 21, 22, 24, and 25, respectively.

Part VII, lines 27-35: This policy was closed and the underlying assets were disposed of on May 4, 2017, each with a transaction value of "J."
This information was inadvertently omitted from my prior report; please treat this correction as an amendment to that filing.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Robert T. Numbers**

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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