

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/03/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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. 2019	N.C. CONSOLIDATED JUDICIAL RETIRMENT SYSTEM, NO CONTROL
2. _____	_____
3. _____	_____

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: CAYER, DAVID S., 08/03/2020

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.)

Table with 3 columns: DATE, SOURCE AND TYPE, INCOME (yours, not spouse's). Row 1: 1. 2019, CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT, \$67,500.00

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.)

[x] NONE (No reportable non-investment income.)

Table with 2 columns: DATE, SOURCE AND TYPE. Rows 1-4 are empty.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment. (Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[x] NONE (No reportable reimbursements.)

Table with 5 columns: SOURCE, DATES, LOCATION, PURPOSE, ITEMS PAID OR PROVIDED. Rows 1-5 are empty.

Name of Person Reporting	Date of Report
CAYER, DAVID S.	08/03/2020

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	K	T					
4.									
5. FIFTH THIRD - Savings	A	Interest	J	T					
6. TRUST #1 (H)									
7. -WELLS FARGO DEPOSIT ACCT	A	Interest	J	T					
8. -JP MORGAN HIGH YEILD FUND	A	Dividend			Buy (add'l)	04/01/19	J		
9.					Sold	10/10/19	J	A	
10.									
11. -AMERICAN CENTURY TAX-FREE BOND FUND CLASS INS #328	A	Dividend	K	T	Buy	04/01/19	J		
12.					Buy (add'l)	05/13/19	K		
13.					Sold (part)	08/08/19	J	A	
14.					Buy (add'l)	09/27/19	J		
15.					Buy (add'l)	12/09/19	J		
16.									
17. -NUVEEN HIGH YIELD MUNI BOND	A	Dividend			Buy (add'l)	04/01/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
Q =Appraisal
U =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 - \$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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

CAYER, DAVID S.

Date of Report

08/03/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Sold	08/08/19	J	A	
19.									
20. -NUVEEN INTERMEDIATE DURATION BOND FUND CLASS R #1670	A	Dividend	K	T	Buy	04/01/19	J		
21.					Buy (add'l)	05/13/19	J		
22.					Sold (part)	08/08/19	J	A	
23.					Buy (add'l)	10/22/19	J		
24.					Buy (add'l)	12/09/19	J		
25.									
26. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND	A	Dividend	K	T	Buy (add'l)	02/25/19	J		
27.					Buy (add'l)	04/01/19	J		
28.					Sold (part)	05/10/19	J	A	
29.					Buy (add'l)	08/08/19	J		
30.					Buy (add'l)	09/27/19	J		
31.					Buy (add'l)	12/09/19	J		
32.									
33. PIMCO HIGH YIELD FD-INST #108	A	Dividend	J	T	Buy	10/10/19	J		
34.									

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				

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Date of Report

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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.									
36. -NUVEEN NC MUNI BOND	A	Dividend			Buy (add'l)	02/25/19	J		
37.					Sold	04/01/19	J	A	
38.									
39.									
40. -T ROWE PRICE INST. FLOAT	A	Dividend			Sold	04/01/19	J		
41.									
42.									
43. -FIDELITY ADVISORS EMERGING MARKETS - FIDELITY NEW MARKETS INCOME FUND	A	Dividend	J	T	Sold (part)	02/22/19	J		
44.					Buy (add'l)	04/01/19	J		
45.					Buy (add'l)	04/11/19	J		
46.					Sold (part)	05/10/19	J		
47.					Sold (part)	05/10/19	J		
48.					Sold (part)	08/08/19	J	A	
49.					Buy (add'l)	10/22/19	J		
50.									

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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
51.									
52. TCW EMRG MKTS INCM-I 4721	A	Dividend	J	T	Sold (part)	02/22/19	J	A	
53.					Sold (part)	05/10/19	J	A	
54.					Sold (part)	08/08/19	J	A	
55.					Buy (add'l)	10/22/19	J		
56.									
57. -AMERICAN CENTURY SMALL CAP GROWTH	A	Dividend	J	T	Sold (part)	02/22/19	J		
58.					Buy (add'l)	10/22/19	J		
59.									
60. -ARTISAN MID CAP FUND CLASS INS.	A	Dividend	J	T	Buy (add'l)	02/25/19	J		
61.					Buy (add'l)	04/01/19	J		
62.					Sold (part)	05/10/19	J	A	
63.					Sold (part)	08/08/19	J	A	
64.					Buy (add'l)	10/22/19	J		
65.									
66. GOLDMAN SACHS ACTIVEBETA U.S. LARGE CAP EQUITY ETF	A	Dividend	K	T	Buy	08/09/19	K		
67.					Sold (part)	10/22/19	J	A	

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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☐ NONE (No reportable income, assets, or transactions.)

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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)
68.									
69. -HARBOR CAPITAL APPRECIATION FUND	A	Dividend	J	T	Sold (part)	02/22/19	J	B	
70.					Sold (part)	04/01/19	J	A	
71.					Sold (part)	05/10/19	J	A	
72.					Sold (part)	08/08/19	J	B	
73.					Sold (part)	10/21/19	J	C	
74.									
75. ISHARES CORE S&P 500ETF	A	Dividend			Sold	02/25/19	J	A	
76.									
77. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend			Sold	02/25/19	J	A	
78.									
79. ISHARES TRS &P 1500 INDEX FD	A	Dividend	K	T	Buy	02/25/19	K		
80.					Buy (add'l)	04/02/19	J		
81.					Sold (part)	05/13/19	J	A	
82.					Buy (add'l)	08/09/19	J		
83.					Buy (add'l)	09/27/19	J		
84.					Buy (add'l)	10/22/19	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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Name of Person Reporting

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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)
85.									
86. JENSEN QUALITY GROWTH FUND	A	Dividend	J	T	Buy	10/22/19	J		
87.									
88. -JP MORGAN MID CAP VALUE FUND- CLASS L	A	Dividend	J	T	Sold (part)	02/22/19	J	A	
89.					Buy (add'l)	04/01/19	J		
90.					Sold (part)	05/10/19	J	A	
91.					Sold (part)	08/08/19	J		
92.					Sold (part)	10/21/19	J	A	
93.									
94. -MFS VALUE FUND-CLASS I	A	Dividend	J	T	Sold (part)	02/22/19	J	A	
95.					Sold (part)	05/10/19	J	A	
96.					Sold (part)	08/08/19	J	A	
97.					Sold (part)	10/21/19	J	B	
98.									
99.									
100. STRATTON SM-CAP VALUE FD N/K/A STERLING CAPITAL STRATTON SM-CP	A	Dividend	J	T	Sold (part)	02/22/19	J		
101.					Buy (add'l)	04/01/19	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	

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.)

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102.					Sold (part)	05/10/19	J		
103.					Buy (add'l)	08/08/19	J		
104.									
105. VANGUARD MIDCAP VIPER	A	Dividend	J	T	Buy	10/22/19	J		
106.									
107.									
108. -DODGE & COX INT'L STOCK	A	Dividend			Buy (add'l)	02/25/19	J		
109.					Buy (add'l)	05/13/19	J		
110.					Sold	08/08/19	J	C	
111.									
112.									
113. ISHARES CORE MSCI EMERGING MARKETS ETF	A	Dividend	J	T	Buy (add'l)	04/02/19	J		
114.					Buy (add'l)	05/13/19	J		
115.					Buy (add'l)	08/09/19	J		
116.					Sold (part)	09/27/19	J		
117.									
118.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =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 - \$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

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119. -OPPENHEIMER DEVELOPING MKT NEW NAME INVESCO OPPENHEIMER DEVELOPING MA	A	Dividend	J	T	Sold (part)	02/22/19	J		
120.					Buy (add'l)	04/01/19	J		
121.					Sold (part)	08/08/19	J		
122.					Sold (part)	09/26/19	J	A	
123.					Sold (part)	10/21/19	J	A	
124.									
125.									
126. -T ROWE PR OVERSEAS STOCK-I #521	A	Dividend	K	T	Buy (add'l)	02/25/19	J		
127.					Buy (add'l)	05/13/19	J		
128.					Buy (add'l)	08/08/19	J		
129.					Sold (part)	10/21/19	J	A	
130.									
131.									
132. -AQR MANAGED FUTURES STRATEGY FUND	A	Dividend			Buy (add'l)	02/25/19	J		
133.					Sold	04/01/19	J		
134.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =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 - \$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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

CAYER, DAVID S.

Date of Report

08/03/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
135. -ASG GLOBAL ALTERNATIVES FUND CLASS	A	Dividend			Sold (part)	02/22/19	J		
136.					Sold	04/01/19	J		
137.									
138. ASG MANAGED FUTURES STRATEGY FUND		None			Sold	02/22/19	J		
139.									
140.									
141. -BLACKROCK GLOBAL LONG/SHORT CREDIT FUND	A	Dividend			Sold	04/01/19	J		
142.									
143.									
144. -EATON VANCE GLOBAL MARCO ABSOLUTE RETURN FUND #208	A	Dividend			Buy (add'l)	02/25/19	J		
145.					Sold	04/01/19	J		
146.									
147.									
148. EATON VANCE GLOBAL MARCO ABSOLUTE FUND#0088	A	Dividend			Sold	02/22/19	J	A	
149.									
150.									
151. -JOHN HANCOCK FUND II-ABSOLUTE RETURN	A	Dividend			Sold (part)	02/22/19	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

CAYER, DAVID S.

Date of Report

08/03/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
152.					Sold	04/01/19	J		
153.									
154.									
155. -NEUBERGER BERMAN LONG SH-INS	A	Dividend			Buy (add'l)	02/25/19	J		
156.					Sold	04/01/19	J	A	
157.									
158.									
159. INVESCO BALANCED RISK COMMODITY STRATEGY FUND CLASS Y #8611	A	Dividend			Buy (add'l)	05/13/19	J		
160.					Sold	08/08/19	J		
161.									
162.									
163. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE	A	Dividend	J	T					
164.									
165.									
166. -T ROWE PRICE REAL ESTATE FUND	A	Dividend	J	T	Buy (add'l)	05/13/19	J		
167.									

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
168.									
169. IRA #1 (H)									
170. -AMER BALANCED FD	A	Dividend	K	T					
171. -INVESTMENT CO. AMERICA	A	Dividend	K	T					
172.									
173. NYSE:XOM	A	Dividend	J	T					
174.									
175. WELLS FARGO - Savings	A	Int./Div.	J	T					
176.									
177. NYSE: GCP		None	J	T					
178.									
179. NYSE:GRA	A	Dividend	K	T					
180.									
181. 401(k) #1 (H)									
182. -NC STABLE VALUE FUND	A	Int./Div.	J	T					
183.									
184. ROTH IRA #1 (H)									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =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 - \$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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
185. -DEPOSIT ACOUNT - CASH - TD Ameritrade	A	Int./Div.	J	T					
186.									

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

CAYER, DAVID S.

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

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Name of Person Reporting

CAYER, DAVID S.

Date of Report

08/03/2020

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