

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) Swank, Kimberly A.	2. Court or Organization US District Court, Eastern District of North Carolina	3. Date of Report 8/10/2020
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 01/01/2019 to 12/31/2019
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Federal Magistrate Judges' Association
2. Trustee	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Swank, Kimberly A.

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Vidant Medical Center
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.		Tuition	None
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. State Employees' Credit Union Accounts	A	Int./Div.	K	T					
2. PNC Bank account	A	Interest	J	T					
3. Brokerage Acct #1 (IRA) (H)									
4. --OSI Oshares US (OUSA)	A	Dividend	J	T					
5. --Invesco Tr S&P 500 Equal (RSP)	A	Dividend	J	T	Sold (part)	06/12/19	J	A	
6. --Ishares Emg Mkt (IEMG)	A	Dividend			Sold	07/09/19	J	A	
7. --Ishares Min Vol (USMV)	A	Dividend	K	T	Sold (part)	11/05/19	J	B	
8. --Ishares US Stk Mkt (ITOT)	A	Dividend	K	T					
9. --Ishares Sm Cap (IJR)		None			Sold	03/12/19	J	A	
10. --Invesco QQQ (QQQ)	A	Dividend	J	T	Sold	05/08/19	J	B	
11.					Buy	12/10/19	J		
12. --SPDR S&P Mid Cap (MDY)	A	Dividend			Sold (part)	01/08/19	J		
13.					Sold	05/08/19	J	A	
14. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
15. --Wisdomtree Tr Euro H Eq (HEDJ)	A	Dividend	J	T					
16. --First Tr Sr Loan (FTSL)	A	Dividend	J	T					
17. --Vanguard Ind S&P 500 (VOO)	A	Dividend	J	T	Buy (add'l)	09/10/19	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	
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18. --Ishares Edge USA Qual (QUAL)	A	Dividend			Sold (part)	02/05/19	J	A	
19.					Sold	04/09/19	J	A	
20. --Ishares Short Mat (NEAR)	A	Dividend	J	T	Buy	01/08/19	J		
21.					Buy (add'l)	06/12/19	J		
22. --Ishares Floating Rate Bond (FLOT)	A	Dividend			Buy	01/08/19	J		
23.					Sold	12/10/19	J	A	
24. --SPDR Emerg Mkt (SPEM)	A	Dividend			Buy	02/05/19	J		
25.					Sold	09/10/19	J		
26. --SPDR Bloomberg Floating (FLRN)	A	Dividend	J	T	Buy	02/05/19	J		
27. --JP Morgan Ultra-Short (JPST)	A	Dividend	J	T	Buy	03/12/19	J		
28. --Invesco Optimum Yld (PDBC)		None			Buy	04/09/19	J		
29.					Sold	06/12/19	J		
30. --Ishares Short Term Corp (IGSB)	A	Dividend	J	T	Buy	05/08/19	J		
31. --First Tr Low Dur Mtg (LMBS)	A	Dividend	J	T	Buy	06/12/19	J		
32. --SPDR Gold Tr (GLD)		None	J	T	Buy	10/08/19	J		
33. --Ishares Core MSCI Em Mkt (IEMG)	A	Dividend	J	T	Buy	11/05/19	J		
34. VOYA Index Plus Lg Cap		None	L	T					

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35. Brokerage Acct #2 (H)									
36. -- T Rowe Price Blue Chip Growth Fund	B	Dividend	M	T					
37. --AF EuroPac Gr	B	Dividend	L	T					
38. --Dodge & Cox Intl	B	Dividend	L	T					
39. --Fid 500 Index Inst	B	Dividend	L	T					
40. --PIM Total RT Inst	B	Dividend	K	T					
41. --Vang Tot Bd Mkt Inst	A	Dividend	K	T					
42. --DFA US Sm Cap	C	Dividend	M	T					
43. --Aristotle Val Eq		None	L	T					
44. --JPMCB PB 2030		None	K	T					
45. Brokerage Acct #3 (H)									
46. --ABT	A	Dividend	K	T					
47. --D	A	Dividend	J	T					
48. --Janus Enterprise Fund (JAENX)	A	Distribution	J	T					
49.	A	Dividend							
50. --Vanguard 500 Index Fund (VFINX)	A	Dividend	K	T					
51. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					

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52. Equitable Variable Life (Cash)	A	Interest	J	T					
53. NC 529 Plans (H)									
54. --Growth Portfolio (Age-Based, Aggressive Track)		None	M	T					
55. --Mod Growth Portfolio (Age-Based, Moderate Track)		None	J	T					
56. --Vanguard Growth		None	J	T					
57. --Vanguard Ttl Stock Mkt		None	J	T					
58. Brokerage Acct #4 (H)									
59. --Invesco Emg Mkt (PCY) (Y)									
60. --Vanguard Intl Eq (VWO)	A	Dividend	J	T					
61. --Vanguard Int (VCIT) (Y)									
62. --Vanguard Ttl Bond (BND)	A	Dividend	J	T					
63. --Vanguard Ttl Stock (VTI)	A	Dividend	J	T					
64. --Vanguard FTSE Dev Mkt (VEA)	A	Dividend	J	T					
65. --Vanguard Mid Cap (VO)	A	Dividend	J	T					
66. --Vanguard ST Bond (BSV)	A	Dividend	J	T					
67. --Ishares S&P (IVV)	A	Dividend	J	T					
68. --SPDR Bloomberg HY (JNK) (Y)									

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69. --Vanguard Value (VTV) (X)	A	Dividend	J	T					
70. Brokerage Acct #5 (H)									
71. --ABBV	A	Dividend	J	T					
72. --AFLAC (AFL)	A	Dividend	J	T					
73. --Air Prods & Chem (APD)	A	Dividend	J	T					
74. --Altria Grp (MO)	A	Dividend	J	T					
75. --Am Elec Pwr (AEP)	A	Dividend	J	T					
76. --Ameriprise (AMP)	A	Dividend	J	T					
77. --Amgen (AMGN)	A	Dividend	J	T					
78. --Arthur J Gallagher (AJG)	A	Dividend	J	T					
79. --AT&T (T)	A	Dividend	J	T					
80. --Blackrock (BLK)	A	Dividend	J	T					
81. --Bristol Myers (BMY) (Y)									
82. --Chevron (CVX)	A	Dividend	J	T					
83. --CSCO	A	Dividend	J	T					
84. --Coca-Cola (KO)	A	Dividend	J	T					
85. --Crown Castle (CCI)	A	Dividend	J	T					

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86. --Emerson Elec (EMR)	A	Dividend	J	T					
87. --Exxon Mobil (XOM)	A	Dividend	J	T					
88. --Ford Motor (F)	A	Dividend	J	T					
89. --Gilead Sci (GILD)	A	Dividend	J	T					
90. --Home Depot (HD)	A	Dividend	J	T					
91. --HP Inc (HPQ)	A	Dividend	J	T					
92. --Intel Corp (INTC)	A	Dividend	J	T					
93. --Invesco Ltd (IVZ) (Y)									
94. --Johnson & Johnson (JNJ)	A	Dividend	J	T					
95. --JP Morgan (JPM)	A	Dividend	J	T					
96. --KAR Auction (KAR)	A	Dividend			Sold	04/23/19	J	A	
97. --Liberty Prop REIT (LPT)	A	Dividend	J	T					
98. --Lockheed Martin (LMT)	A	Dividend	J	T					
99. --LyondellBasell (LYB)	A	Dividend	J	T					
100. --Merck & Co (MRK)	A	Dividend	J	T	Sold (part)	01/03/19	J	A	
101. --MetLife (MET)	A	Dividend	J	T					
102. --MSFT	A	Dividend	J	T					

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103. --Occidental Pete (OXY) (Y)									
104. --Pfizer (PFE)	A	Dividend	J	T					
105. --Philip Morris (PM)	A	Dividend	J	T					
106. --Phillips 66 (PSX)	A	Dividend	J	T					
107. --PNC Fin Svcs (PNC)	A	Dividend	J	T					
108. --Proctor & Gamble (PG)	A	Dividend	J	T					
109. --Prologis (PLD)	A	Dividend	J	T					
110. --Prudential Fin (PRU)	A	Dividend	J	T					
111. --Schlumberger Ltd (SLB) (Y)									
112. --Thomson Reuters (TRI)	A	Dividend	J	T					
113. --US Bancorp (USB)	A	Dividend	J	T					
114. --Verizon (VZ)	A	Dividend	J	T					
115. --Wal-Mart (WMT)	A	Dividend	J	T					
116. --Wells Fargo (WFC)	A	Dividend	J	T					
117. --Williams Cos (WMB) (Y)									
118. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
119. --Eli Lilly & Co (LLY)	A	Dividend			Sold	02/20/19	J	A	

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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)
120. --International Paper Co (IP) (Y)									
121. --Mondelez Intl (MDLZ)	A	Dividend	J	T					
122. --Macy's (M) (Y)									
123. --BB&T (BBT)	A	Dividend			Sold	05/17/19	J		
124. --Medtronic (MDT)	A	Dividend	J	T					
125. --Huntington Bancshares (HBAN)	A	Dividend	J	T					
126. --Ventas Inc (VTR)	A	Dividend	J	T					
127. --Kinder Morgan (KMI)	A	Dividend	J	T					
128. --Pepsico (PEP)	A	Dividend	J	T					
129. --OGE Energy Corp (OGE)	A	Dividend			Sold	03/20/19	J	A	
130. --CMS Energy Corp (CMS) (X)	A	Dividend	J	T	Sold (part)	09/19/19	J	A	
131. --Southern Co (SO)	A	Dividend	J	T	Buy	01/03/19	J		
132. --Keycorp (KEY)	A	Dividend	J	T	Buy	03/20/19	J		
133. --Tapestry Inc (TPR)	A	Dividend	J	T	Buy	04/23/19	J		
134. --Valero (VLO)	A	Dividend	J	T	Buy	07/10/19	J		
135. --Caterpillar (CAT)	A	Dividend	J	T	Buy	09/19/19	J		
136. --Eastman Chem (EMN)		None	J	T	Buy	10/25/19	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		

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)
137. --Bank of America (BAC) (X)	A	Dividend	J	T					
138. --Citigroup (C) (X)		None	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	
	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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Swank, Kimberly A.

Date of Report

8/10/2020

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Swank, Kimberly A.

Date of Report

8/10/2020

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/ **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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