

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) DIAZ, ALBERT	2. Court or Organization FOURTH CIRCUIT	3. Date of Report 08/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE ACTIVE	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 FIFTH THIRD CENTER 201 N. TRYON ST., SUITE 1440 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. Member	Contracts Law Drafting Committee, National Conference of Bar Examiners
2. Board of Advisors	Antonin Scalia Law School (George Mason University) Judicial Education Program
3. Executive Committee (Chair Elect/Chair)	Appellate Judges Conference, American Bar Association
4. Board of Directors (Vice-Chair/Chair)	Appellate Judges Education Institute
5. Board of Directors	Federal Judges Association
6. Trustee	Trust #1 (Unfunded)

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. 2006	Judicial Retirement Plan, receiving annual pension from the State of North Carolina for prior service as a state trial judge
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

DIAZ, ALBERT

Date of Report

08/08/2020

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Multistate Bar Exam Contracts Drafting Committee, National Conference of Bar Examiners stipend	\$7,000.00
2. 2019	North Carolina Judicial Retirement	\$21,469.44
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.	
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. American Bar Association	1/24/19 to 1/27/19	Las Vegas, NV	Attend Bar Meeting	Transportation
2. University of Michigan School of Law	3/31/19 to 4/2/19	Ann Arbor, MI	Preside over Moot Court competition	Transportation, meals, hotel
3. National Conference of Bar Examiners	4/4/19 to 4/7/19	Beverly Hills, CA	Attend Committee Meeting	Transportation, meals, hotel
4. Federal Judges Association	4/15/19 to 4/16/19	Dallas, TX	Attend Board Meeting	Transportation, meals, hotel
5. Campbell University School of Law	5/10/19 to 5/11/19	Raleigh, NC	Give Commencement Address	Transportation, meals, hotel

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

DIAZ, ALBERT

Date of Report

08/08/2020

6.	Appellate Judges Education Institute	7/22/19 to 7/24/19	Reno, NV	Attend Committee Meeting	Transportation, hotel
7.	NC Association of Municipal Attorneys	8/1/19 to 8/2/19	Asheville, NC	Speak at CLE Program	Transportation, hotel
8.	American Bar Association	9/11/19 to 9/13/19	Chicago, IL	Attend Bar Meeting	Transportation, meals, hotel
9.	National Conference of Bar Examiners	10/3/19 to 10/6/19	Brooklyn, NY	Attend Committee Meeting	Transportation, meals, hotel

Name of Person Reporting	Date of Report
DIAZ, ALBERT	08/08/2020

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. American Express	Revolving Charge Card	K
2. Discover Card	Revolving Charge Card	J
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. Vanguard Primecap Fund Admiral IRA		None			Sold	04/22/19	M		
2. Vanguard Primecap Fund Admiral IRA (Brokerage Account)	D	Dividend	M	T	Buy	04/22/19	M		
3. Vanguard 500 Index Fund Admiral IRA		None			Sold	04/22/19	M		
4. Vanguard 500 Index Fund Admiral IRA (Brokerage Account)	B	Dividend	M	T	Buy	04/22/19	M		
5. T. Rowe Price Mid Cap Growth Fund IRA	B	Dividend	K	T					
6. T. Rowe Price Capital Appreciation Fund IRA	C	Dividend	L	T					
7. USAA Insurance Co. Subscriber Account		None	J	T					
8. Navy Federal Credit Union Accounts	A	Interest	K	T					
9. Vanguard Total Stock Market Index Fund Institutional Shares 401K		None			Sold	09/06/19	M		
10. Vanguard Total Bond Index Fund Institutional Shares 401K	A	Dividend			Sold	09/06/19	M		
11. Vanguard Midcap Index Fund Institutional Shares 401K		None			Sold	09/06/19	L		
12. Vanguard Federal Money Market Fund IRA (Brokerage Account)	A	Dividend	K	T	Buy	09/20/19	N		
13.					Sold (part)	09/24/19	M		
14.					Sold (part)	09/24/19	M		
15.					Sold (part)	10/15/19	K		
16. Vanguard Total Bond Index Fund Admiral IRA (Brokerage Account)	B	Dividend	M	T	Buy	09/24/19	M		
17. Vanguard Total Stock Market Index Fund Admiral IRA (Brokerage Account)	A	Dividend	M	T	Buy	09/24/19	M		

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)
18. Vanguard Short Term Bond Index Fund Admiral IRA (Brokerage Account)	A	Dividend	L	T	Buy	10/15/19	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

DIAZ, ALBERT

Date of Report

08/08/2020

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

Part I: The trust is a unfunded trust created in December 2015.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

DIAZ, ALBERT

Date of Report

08/08/2020

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/ ALBERT DIAZ**

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
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