

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) Dever, James C.	2. Court or Organization U.S District Court, EDNC	3. Date of Report 05/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 U.S. District Court 310 New Bern Ave. Raleigh, NC 27601		
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. Adjunct Law Professor	Campbell University, N.A. Wiggins School of Law
2. Senior Lecturing Fellow	Duke University School of Law
3. Board of Visitors	Duke University School of Law
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	Agreement to teach as an adjunct law professor at Campbell University
2. 2019	Agreement to teach as a senior lecturing fellow at Duke University
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Campbell University (wages)	\$6,000.00
2. 2019	Duke University (wages)	\$10,000.00
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	Teacher, Our Lady of Lourdes Catholic School, Raleigh, North Carolina (wages)
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.)

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.		

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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. Northwestern Mutual Life Policy	A	Interest	K	T					
2. Northwestern Mutual Life Policy	A	Interest	K	T					
3.									
4. PNC Bank Account	A	Interest	K	T					
5. IRA (H)									
6. -Cash Deposit -- Northwestern Mutual Investment Services	A	Interest	J	T					
7.									
8. -ABNFX (The Bond Fund of America Class F-2)	A	Interest	K	T	Buy	06/07/19	K		
9.					Sold (part)	08/06/19	J	A	
10.					Buy (add'l)	12/06/19	J		
11. -DODIX (Dodge & Cox Income Fund)	E	Int./Div.	K	T	Buy	06/07/19	K		
12. -DODGX (Dodge & Cox Stock Fund)	C	Int./Div.	K	T	Buy	06/07/19	K		
13. -JVMIX (John Hancock Disciplined Value Mid Cap Fund Class I)	A	Int./Div.	J	T	Buy	12/06/19	J		
14. -POMPX (Pimco Income Fund Class I-2)	A	Int./Div.	K	T	Buy	01/08/19	J		
15.					Buy (add'l)	06/07/19	J		
16. -VBILX (Vanguard Intermediate Term Bond Index Fund Admiral Shares)	A	Interest			Buy	01/22/19	K		
17.					Sold	06/07/19	K	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.)

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)
18. -FDAAX (Franklin Floating Rate Daily Access Fund Advisers Class)	A	Int./Div.			Sold	01/18/19	J	A	
19. -VTAPX (Admiral Class)	A	Int./Div.			Sold	06/17/19	J	A	
20. -VICSX (Vanguard International Term Corp Bond Index Fund Admiral Cla)	A	Int./Div.			Sold	01/22/19	K	B	
21. -IBAFX (International Bond Fund of America Class F-2)	A	Int./Div.			Sold	06/17/19	K	B	
22. -NEFFX (The New Economy Fund Class F-2)	A	Int./Div.			Sold	06/17/19	J	A	
23. -BRK B (Berkshire Hathaway Inc Cl B New Stock)	D	Int./Div.	K	T					
24. -VSMAX (Vanguard Small-Cap Index Fund Admiral)	A	Int./Div.			Sold	06/07/19	K	A	
25. -VIMAX (Vanguard Mid-Cap Fund Admiral)	C	Int./Div.			Sold	06/07/19	K	B	
26. -VTSAX (Vanguard Total Stock Market Index)	D	Int./Div.			Sold	06/07/19	L	C	
27. -DODIX (Dodge & Cox Income Fund)	A	Int./Div.	K	T	Buy (add'l)	06/07/19	K		
28. -VSIAX (Vanguard Small Cap Value Index Fund Admiral Class)	A	Int./Div.			Sold	06/07/19	K	C	
29. -DODWX (Dodge & Cox Global Stock Fund)	A	Int./Div.	K	T					
30. -FINFX (Fundamental Investor Class F-2)	A	Int./Div.	K	T	Buy (add'l)	08/06/19	J		
31.					Sold (part)	09/05/19	J	A	
32. -ABMIX (Aston Fairpointe Midcap Fund Class I)	A	Int./Div.			Sold	12/06/19	J	A	
33. -SMCFX (Small Cap World Fund Class F2)	A	Int./Div.	K	T					
34. -GBLFX (American Fund Global Balanced Fund Class F-2)	A	Int./Div.			Sold	06/07/19	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	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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	(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. -TTRZX (Templeton Global Return Fund)	A	Int./Div.	K	T	Buy (add'l)	06/07/19	J		
36.					Buy (add'l)	12/06/19	J		
37. -ANWFX (New Perspective Fund Class F-2)	A	Int./Div.	K	T	Buy (add'l)	06/07/19	K		
38. -NFFFX (New World Fund Class F-2)	B	Int./Div.	K	T					
39. -VDADX (Vanguard Dividend Appreciation Index)	B	Int./Div.			Sold	06/07/19	K	B	
40. -ABMIX (AMG Managers Fairpoint Mid Cap Fund Class I)	A	Int./Div.			Sold (part)	06/07/19	J	A	
41.					Sold	12/06/19	J	A	
42. -BSIIX (Blackrock Strategic Income Opporunities Post Fund Class I)	A	Int./Div.			Sold	06/07/19	K	A	
43. -CSDIX (Cohen & Steers Real Estate Securities Fund Class I)	A	Int./Div.	K	T	Buy (add'l)	06/07/19	J		
44.									
45. -IGFFX (International Growth & Income Fund Class F-2)	A	Int./Div.			Sold	06/07/19	J	A	
46.									
47.									
48. Roman Catholic Diocese of Raleigh 403(b) Ret Plan (H)									
49. -T Rowe Retirement I 2030 Fund	A	Int./Div.	K	T					
50.									
51. Duke Faculty and Staff 403(b) Ret Plan (H)									

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52. -Vanguard Institution Target Retirement 2025 mutual fund 2025	A	Int./Div.	J	T					
53.									
54. Trust (H)									
55. -Wachovia (now Wells Fargo) checking account	A	Interest	J	T					
56. -Wachovia (now Wells Fargo) savings account	A	Interest	K	T					
57. -Kinecta Federal Savings & Loan checking account	A	Interest	L	T					
58. -Kinecta Federal Savings & Loan savings account	A	Interest	J	T					
59. -Kinecta Federal Savings & Loan Certificate of Deposit	A	Interest	M	T					
60. -New York Life whole life insurance policy	B	Interest	K	T					
61. -New York family life insurance policy	A	Interest	J	T					
62. -New York Life variable annuity (H)									
63. Mainstay VP Janus Henderson Balanced Initial Class 159	A	Int./Div.	K	T					
64. -USAA whole life insurance policy	A	Interest	L	T					
65.									
66. -Comcast Corp CL A stock	A	Dividend	K	T					
67. -Northrop Grumman Corp stock	C	Dividend	N	T					
68. -Raytheon Company New stock	D	Dividend	O	T					

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69. -3M Company stock	B	Dividend	L	T					
70. -Wells Fargo checking	A	Interest	J	T					
71. -Fidelity US Treasury Money Mkt	A	Interest	M	T					
72. -Huntington Ingall Indus stock	A	Dividend	K	T					
73. --Chevron Corp stock	D	Dividend	M	T					
74. -Fidelity Portfolio Advisory Service	D	Int./Div.	N	T					
75. -United Technologies Corp stock	A	Dividend	K	T					
76. -Johnson and Johnson stock	A	Dividend	L	T					
77. -News Corp Class A stock	A	Dividend	J	T					
78. -Morgan Stanley & Co. stock	A	Dividend	K	T					
79. -Twenty First Century Fox Class A stock	A	Dividend			Closed	03/19/19	L	E	
80. -Disney Walt Company stock	A	Dividend	K	T	Spinoff (from line 79)	03/19/19	L		
81. -Fox Corp Class A stock	A	Dividend	K	T	Spinoff (from line 79)	03/19/19	L		
82. -Denton Cnty TX Fresh Water Supply Bond	A	Interest	K	T	Buy	03/29/19	K		
83. -California St Various Purp G/O Unltd Bond	A	Interest	K	T	Buy	03/29/19	K		
84. -California St RFDG Var Purp G/O Unlt Bond	A	Interest	K	T	Buy	03/29/19	K		
85. -Pasadena CA Area Cmnty CLLG Dist RFDG Bond	A	Interest	K	T	Buy	03/29/19	K		

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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)
86. -Portland OR SWR Sys Rev RFDG Bond	A	Interest	K	T	Buy	03/29/19	K		

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

1. With respect to line 79, on March 14, 2019, the merger between Twenty-First Century Fox and Walt Disney closed. Shares of "New Fox," which is officially called Fox Corporation began trading as Fox. Approximately 26% of the shares of Twenty First Century Fox went to New Fox and Disney acquired the remaining 74% of the stock. Thus, my report next year will no longer list Twenty First Century Fox. Instead, beginning this year, it will now list shares of spinoff: Walt Disney and Fox Corporation. Those two stocks are now listed on lines 80 and 81. For the Type column in line 79, I selected the "Closed" descriptions because it seemed to fit the transaction the best for the options given in the software.

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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/ **James C. Dever**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544