

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) Numbers, Robert T.	2. Court or Organization U.S. District Court, Eastern District North Carolina	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. Magistrate Judge (Full-Time)	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 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.)*

<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.	
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. Federalist Society/Liberty Fund	3/29/19-3/31/19	Charlotte, NC	Faculty Colloquium	Food, lodging, transportation
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. NelNet Student Loan #1	Law School Loan	None
2. NelNet Student Loan #2	Law School Loan	None
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. Individual Assets (H)									
2. Wells Fargo Bank (cash) (X)	B	Interest	L	T					
3. Retirement Account #1 (H)									
4. Vanguard Institutional Index Fund Institutional Shares	A	Dividend	K	T					
5. Vang Inst Tg Rtm 45 Inst (X)	A	Dividend	J	T					
6. Retirement Account #2 (H)									
7. DFA Gl Core Plus Fix In Port I (DGCFX)	A	Dividend	K	T	Buy (add'l)	01/14/19	J		
8. DFA Select Hedge Gbl Fixed Income Fund (DFSHX)	A	Dividend	K	T	Buy (add'l)	01/14/19	J		
9. DFA Inflation Protected Sec PTF (DIPSX)	A	Dividend	J	T	Buy (add'l)	01/14/19	J		
10. DFA International Core Equ PTF (DFIEX)	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
11. DFA US Vector Eq (DFVEX)	B	Dividend	L	T	Buy (add'l)	01/14/19	J		
12. DFA US Core Equity 2 (DFQTX)	B	Dividend	L	T					
13. DFA Emerging Markets Core Equity 1 (DFCEX)	A	Dividend	K	T	Sold (part)	01/14/19	J	A	
14. DFA Investment Grade PTF (DFAPX)	A	Dividend	K	T	Buy (add'l)	01/14/19	J		
15. DFA Short Term Ext Quality PTF (DFEQX)	A	Dividend	J	T	Buy (add'l)	01/14/19	J		
16. DFA Intl Vector Equity Portfolio (DFVQX)	A	Dividend	K	T	Sold (part)	01/14/19	J	A	
17. DFA Global Real Estate Sec PTF (DFGEX)	C	Dividend	K	T	Buy (add'l)	01/14/19	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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18.					Sold (part)	08/29/19	J	A	
19. DFA International Value I (DFIVX)	B	Dividend	K	T	Buy (add'l)	01/14/19	J		
20. Brokerage Account #1 (H)									
21. Bank of New York Mellon Corp. (cash)	A	Interest			Open	01/11/19	K		
22.					Closed	07/22/19	L	A	
23. Investors Savings Bank NJ (cash)	A	Interest			Open	07/22/19	K		
24.					Closed	10/28/19	L	A	
25. Bancorp Com Bk DE (cash)	A	Interest	L	T	Open	10/28/19	K		
26. DFA International Core Equ PTF (DFIEX)	A	Dividend	K	T	Buy	01/14/19	K		
27. DFA US Vector Eq (DFVEX)	A	Dividend	K	T	Buy	01/14/19	K		
28. DFA US Core Equity 2 (DFQTX)	A	Dividend	K	T	Buy	01/14/19	K		
29. DFA Emerging Markets Core Equity 1 (DFCEX)	A	Dividend	K	T	Buy	01/14/19	K		
30. DFA Intl Vector Equity Portfolio (DFVQX)	A	Dividend	K	T	Buy	01/14/19	K		
31. College Foundation of North Carolina Account #1 (H)									
32. Vanguard Aggressive Track Age-Based Portfolio		None	J	T	Buy (add'l)	01/23/19	J		
33. Vanguard Conservative Track Age-Based Portfolio		None	L	T	Buy (add'l)	01/23/19	K		
34. Vanguard Moderate Track Age-Based Portfolio		None	K	T	Buy (add'l)	01/23/19	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)
35. College Foundation of North Carolina Account #2 (H)									
36. Vanguard Aggressive Track Age-Based Portfolio		None	J	T	Buy	01/23/19	J		
37. Vanguard Conservative Track Age-Based Portfolio		None	K	T	Buy (add'l)	01/23/19	K		
38. Vanguard Moderate Track Age-Based Portfolio		None	K	T	Buy (add'l)	01/23/19	K		
39. Misc. Holdings (H)									
40. Land in Cary, North Carolina		None			Sold	01/04/19	N	G	Duke Energy Progress, LLC

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

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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