

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) Bell, Kenneth D.	2. Court or Organization U.S. District Court, Western District of North Carolina	3. Date of Report 09/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 Charles R. Jonas Federal Building 401 W Trade St Suite 212 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. U.S. District Judge	U.S. District Court, Western District of North Carolina
2. Partner	McGuireWoods LLC
3. Member	Mezzanotte LLC
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. 2009	McGuireWoods LLC Retirement Plan with former law firm, managed
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. 2018	McGuireWoods LLC - income from law firm	\$1,052,760.00
3. 2019	McGuireWoods LLC - income from law firm	\$622,033.00
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.				
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. Bank of America - cash account	A	Interest	N	T					
2. Wells Fargo - cash account	A	Interest	J	T					
3. Mezanotte LLC	A	Dividend	J	U					
4. Kure Corp		None	J	T					
5. Rental Property #1 Oak Island, NC Purchased: 5/19/2019 \$295,000	D	Rent	N	R					
6. McGuireWoods LLC Retirement Fund - T. Rowe Price Retirement 2020 Tr-F	A	Dividend	J	T	Distributed	12/31/19	O	A	
7. Prudential AST T. Rowe Price Growth Opps Portfolio	E	Dividend	M	T					
8. Prudential AST Capital Growth Asset Allocation	E	Dividend	M	T					
9. Prudential Secure Value Account	A	Dividend	K	T					
10. Optum Bank Health Savings Account		None	K	T	Distributed (part)	12/31/19	J	A	
11. HSA Bank Health Savings Account		None	K	T	Open	12/31/19	J		
12. Isodiol International, Inc.		None	J	T					
13. Wells Fargo Fundamental Choice IRA #1									
14. - ETF IShares 20+ Yr Treasury Bond TLT	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
15. - ETF IShares EDGE MSCI USA Quality Factor QUAL	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
16. - ETF IShares EDGE MSCI Min Vol USA USMV	D	Int./Div.	N	T	Buy (add'l)	06/15/19	N		
17. - ETF IShares Gold Trust IAU	A	Int./Div.	K	T	Buy (add'l)	06/15/19	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	

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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)
18. - ETF Sector SPDR TR Technology Select XLK	A	Int./Div.	L	T	Buy (add'l)	06/15/19	L		
19. - Alger Growth Small Cap Focus AGOZX	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
20. - Barings Funds Global Credit Income Class Y BXIYX	B	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
21. - Blackrock Total Return Fund MAHQX	C	Int./Div.	L	T	Buy (add'l)	06/15/19	L		
22. - Calamos Market Neutral Income Fund CMNIX	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
23. - Carillon Ser TR Eagle Mid Cap Growth Fd HAGIX	A	Int./Div.	L	T	Buy (add'l)	06/15/19	L		
24. - Delaware Group Global & Intl Fds DEMIX	A	Int./Div.	L	T	Buy (add'l)	06/15/19	L		
25. - Fidelity New Mkt Inc FGZMX	B	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
26. - Harbor Fund Small Cap VAlue Fd HASCX	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
27. - Legg Mason Funds Clearbridge Intl Growth LMGNX	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
28. - Lord Abbett Invst Short Duration Income Fund LLDYX	B	Int./Div.	L	T	Buy (add'l)	06/15/19	L		
29. - Oakmark International Fund Advisor Class OAYIX	B	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
30. - Principal Inv Fund Real Estate Secs FD PIREX	A	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
31. - Principal Spectrum PFD and Capital Securities Income Fund PPSIX	B	Int./Div.	K	T	Buy (add'l)	06/15/19	K		
32.									

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

Amending to show Personal Information Part 5a as "Annual." Originally filed as "Initial."

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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/ **Kenneth D. Bell**

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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