

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) Keesler, David C.	2. Court or Organization N Carolina - District Court	3. Date of Report 08/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 401 West Trade Street Room 168 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
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

Keesler, David C.

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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	self-employed, interior designer
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.				

Name of Person Reporting	Date of Report
Keesler, David C.	08/14/2020

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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Keesler, David C.

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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. IRA #1 (H)									
2. -DWS ENHANCED COMMODITY STRAT SKIRX	A	Dividend			Sold	08/12/19	J		
3. -FUNDVANTAGE TR GOTHAM ABSOLUTE RETURN GARIX	A	Dividend			Sold	08/12/19	J		
4. -EATON VANCE MUTUAL FDS TR GLOBAL MARCO ABSLT EGRIX	A	Dividend			Sold	08/12/19	J		
5. -GABELLI EQUITY SER FD SML CAP GROWTH FUND GACIX	A	Dividend			Sold	08/12/19	J		
6. FIDELITY 500 INDEX FUND FXAIX	B	Dividend	J	T	Buy	02/13/19	J		
7.					Sold (part)	04/12/19	J		
8.					Buy (add'l)	06/07/19	J		
9.					Buy (add'l)	08/12/19	J		
10.					Sold (part)	12/02/19	J		
11. -GOLDMAN SACHS TR FTIXX	A	Dividend	J	T					
12. -HARTFORD MULT FDS INC MIDCAP FUND CL 1 HFMIX	B	Dividend	J	T					
13.					Buy (add'l)	08/12/19	J		
14. -JOHN HANCOCK JCUIX	A	Dividend			Sold	12/05/19	J		
15. -LAZARD FDS IM EQUITY PORT INSTL SHS LZIEX	A	Dividend			Sold	08/12/19	K		
16. -OPPENHEIMER DEV ODVYX	B	Dividend							

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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17. -LOCORR INVT TRUST MACROSTRATEGIES FUND CLASS 1 LFMIX	A	Dividend	J	T	Buy	12/06/19	J		
18. -MFS SER TR I VALUE FD CL I MEIIX	C	Dividend	K	T	Buy	03/21/19	J		
19.					Buy (add'l)	03/22/19	J		
20.					Sold (part)	12/02/19	J		
21. -MERIDIAN FD INC SMALL CAP GROWTH FD MISGX	A	Dividend	J	T	Buy (add'l)	08/12/19	J		
22.					Sold (part)	12/02/19	J		
23. -JP MORGAN TR 1 JLPX	A	Dividend			Sold	02/13/19	K		
24. -METROPOLITAN WEST FDS TOTAL RETURN BD FD CL I MWTIX	A	Dividend	K	T	Buy	08/12/19	K		
25. -MAINSTAY LARGE CAP GROWTH FD CL I MLAIX	A	Dividend	K	T	Buy (add'l)	02/03/19	J		
26.					Sold (part)	06/07/19	J		
27.					Buy (add'l)	08/12/19	J		
28.					Sold (part)	12/02/19	J		
29. -PRINCIPAL FS INC GLOBAL MULTI STRATEGY FD INSTL CL PSMIX	A	Dividend			Sold	02/13/19	J		
30. -PRINCIPAL FUNDS INC GLOBAL REAL ESTATE POSIX	A	Dividend			Sold (part)	06/07/19	J		
31.					Sold	08/12/19	J		
32. -NUVEEN INVT FDS INC REAL ESTATE SECS CL I FARCX	A	Dividend			Sold	08/12/19	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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33. -BLACKROCK CORE BOND PORTFOLIO BFM CX	A	Dividend			Sold	08/12/19	J		
34. -AMERICAN FUNDS EUROPACIFIC GROWTH FD CLASS F-2 AEPFX	B	Dividend	J	T	Buy	08/12/19	J		
35.					Buy (add'l)	08/13/19	J		
36. -PIMCO FDS PAC IVT MGMT SER EMERGING PEBIX	A	Dividend	J	T					
37. -PRINCIPAL FDS INC PHYTX	A	Dividend	J	T					
38. -TCW DIVERSIFIED VALUE TGDIX	A	Dividend			Sold	03/21/19	K		
39. -UNDISCOVERED MANAGERS BEHAVIORAL VALUE CLASS I UBVLX	B	Dividend	J	T	Buy	08/12/19	J		
40.					Sold (part)	12/02/19	J		
41. -NATIXIS FDS TR II ASG ASFYX	A	Dividend	J	T	Sold (part)	08/24/19	J		
42. -VIRTUS FUNDS EMG MARKETS OPPORTUNITIES FND CL I HIEMX	B	Dividend	J	T	Sold (part)	08/12/19	J		
43. -WELLS FARGO FUNDS TR SPECIAL MID CAP VALUE FD CL 1 WFMIX	B	Dividend	J	T	Sold (part)	06/07/19	J		
44.					Buy (add'l)	08/12/19	J		
45. -BRIGHTHOUSE LIFE INS CO PROD C SHARE VARIABLE ANNUITY	A	Dividend	L	T					
46. IRA #3 (H)									
47. -COLUMBIA ACORN FUND CLASS A LACAX	A	Dividend			Sold (part)	01/24/19	J		
48.					Sold	12/12/19	J		
49. 529 PLAN #1 (H)									

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50. INTERMEDIATE BOND FDS 529 CL A CBOAX	A	Dividend	J	T					
51. WASHINGTON FUNDS MUTUAL INVS FD CL 529-A CWMAX	A	Dividend	J	T					
52. 529 PLAN #2 (H)									
53. THE INCOME FUND OF AMERICA 529 CL A CIMCX	A	Dividend	J	T					
54. CAPITAL WORLD GROWTH & INCOME FUND CL 529-A CWIAX	A	Dividend	J	T					
55. GROWTH FD OF AMERICA INC CL 529-A CGFAX	A	Dividend	J	T					
56. INCOME FD OF AMERICA 529 CL C CIMCX	A	Dividend	J	T					
57. INTERMEDIATE BOND FDS 529 CL A CBOAX	A	Dividend			Distributed	08/06/19	J		
58. WASHINGTON FUNDS MUTUAL INVS FD CL 529-A CWMAX	A	Dividend			Distributed	06/27/19	J		
59. AMERICAN FUNDS MONEY MARKET FUND CLASS 529-A AAFXX	A	Dividend	J	T	Buy	01/11/19	J		
60. IRA #4 (H)									
61. -DSW ENHANCED COMMODITY STRAT SKIRX	A	Dividend			Sold	08/06/19	J		
62. -BLAIR WILLIAM FDS INTL GROWTH BIGIX	A	Dividend			Sold	03/19/19	J		
63. -EAGLE SMALL GAP GROWTH FUND CLASS I HSIIX	A	Dividend	J	T					
64. -DODGE & COX FDS INTL STK DODFX	A	Dividend	J	T	Buy	03/19/19	J		
65.					Buy (add'l)	08/06/19	J		
66. -EATON VANCE SER II INCOME FUND INSTL CL EIBIX	A	Dividend	J	T					

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67. -AMG FUNDS TIMESSQUARE MID CAP TQMIX	A	Dividend	J	T					
68. -GOLDMAN SACHS TR FINL SQ TREA FTIXX	A	Dividend	J	T					
69. -HANCOCK JOHN CAP SER CLASSIC VALUE CL I JCVIX	A	Dividend	J	T					
70. -HOTCHKIS & WILEY FDS MID CAP HWMIX	A	Dividend			Sold	02/21/19	J		
71. -AMERICAN FUNDS WASHINGTON MUTUAL FD F2 WMFFX	A	Dividend	J	T					
72. -OPPENHEIMER DEV MKTS ODVYX	A	Dividend		T	Buy (add'l)	08/06/19	J		
73. -LAZARD FDS INC LZEMX	A	Dividend	J	T	Buy (add'l)	08/16/19	J		
74. -MFS SER TR 1 VALUE FD CL 1 MEIIX	A	Dividend	J	T					
75. -MFS SER TR X EMERGING MKTS DEBT FD CLASS I MEDIX	A	Dividend	J	T					
76. -MAINSTAY LARGE CAP GROWTH FD CLASS I MLAIX	A	Dividend	J	T					
77. -WELLS FARGO FDS TR SMALL WEMIX	A	Dividend	J	T					
78. -PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECS FUND INSTL CLASS POSIX	A	Dividend			Sold	08/06/19	J		
79. -T TOWE PRICE REAL EST FUND INC TRREX	A	Dividend			Sold	08/06/19	J		
80. -T ROWE PRICE INTL FD OVERSEAS STK TROX	A	Dividend	J	T					
81. -VIRTUS ASSET TR CERDEDEX MID CAP VALUE EQUITY FUND CLI SMVTX	A	Dividend	J	T	Buy	02/21/19	J		
82.					Buy (add'l)	08/07/19	J		

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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)
83. -VICTORY PORTFOLIOS SMALL CO OPPTY FD VSOIX	A	Dividend	J	T					
84. -VOYA SER FD INC LARGE CAP GROWTH FD CL I PLCIX	A	Dividend	J	T					
85. -WELLS FARGO FDS TR CORE BOND FUND CLASS INST MBFIX	A	Dividend	J	T					
86. IRA # 5 (H)									
87. -DAVIS NEW YORK VENTURE FUND INC CL C NYVCX	A	Dividend			Sold	04/12/19	J		
88. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG)	A	Interest	J	T					
89. IRA #6 (H)									
90. -FRANKLIN SMALL MID CAP GROWTH C FRSGX	A	Dividend			Distributed	05/21/19	J		
91. -SOUTH STATE COMMON STOCK (Y)									
92.									

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

Line 50 was incorrectly reported on FDR 2018 as Distributed, should have been reported as Distributed (Part)

Line 51 was incorrectly reported on FDR 2018 as Distributed, should have been reported as Distributed (Part)

Line 91 is under reporting limit

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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/ **David C. Keesler**

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