

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 02/12/2021
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 01/01/2020 to 12/31/2020
	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: <i>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>		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Senior Lecturing Fellow	Duke University School of Law
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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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. 2020	Duke University School of Law (teaching income)	\$3,500.00
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. 2020	Selling Lifestyles, LLC (salary)
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. Individual Assets (H)									
2. Wells Fargo Bank (cash)	A	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	A	Dividend	J	T					
6. Retirement Account #2 (H)									
7. DFA Select Hedge Gbl Fixed Income Fund (DFSHX)	A	Dividend	K	T					
8. DFA Inflation Protected Sec PTF (DIPSX)	A	Dividend	J	T					
9. DFA International Core Equ PTF (DFIEX)	A	Dividend	K	T	Buy (add'l)	04/13/20	K		
10. DFA US Vector Eq (DFVEX)	A	Dividend	K	T	Sold (part)	04/13/20	K		
11. DFA US Core Equity 2 (DFQTX)	B	Dividend	M	T	Buy (add'l)	04/13/20	K		
12. DFA US Core Equity 1 Inst (DFEOX)	A	Dividend	J	T	Buy	03/16/20	K		
13. DFA Emerging Markets Core Equity 1 (DFCEX)	A	Dividend	K	T					
14. DFA Intl Hi Relative Profitability I (DIHRX)	A	Dividend	J	T	Buy	03/16/20	J		
15. DFA Investment Grade PTF (DFAPX)	A	Dividend	K	T	Sold (part)	03/16/20	J	A	
16. DFA Short Term Ext Quality PTF (DFEQX)	A	Dividend	J	T					
17. DFA Intl Vector Equity Portfolio (DFVQX)	A	Dividend	K	T	Sold (part)	04/13/20	J	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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	(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.					Sold (part)	11/18/20	J	A	
19. DFA Global Real Estate Sec PTF (DFGEX)	A	Dividend	K	T					
20. DFA GI Core Plus Fix In Port I (DGCFX)	A	Dividend	K	T	Sold (part)	03/16/20	J	A	
21. DFA International Value I (DFIVX)	A	Dividend	K	T	Sold (part)	04/13/20	J		
22. Brokerage Account #1 (H)									
23. Bancorp Com Bk DE (cash)	A	Interest			Closed	01/30/20	L		
24. First Republic Bank of San Francisco (cash)	A	Interest			Open	02/06/20	L		
25.					Closed	04/09/20	L		
26. DFA International Core Equ PTF (DFIEX)	A	Dividend	K	T	Buy (add'l)	04/13/20	K		
27. DFA US Core Equity 2 (DFQTX)	A	Dividend	K	T					
28. DFA US Core Equity 1 Inst (DFEOX)	A	Dividend	K	T	Buy	04/13/20	K		
29. DFA Emerging Markets Core Equity 1 (DFCEX)	A	Dividend	K	T					
30. DFA Short Term Extended Quality (DFEQX)	A	Dividend	J	T	Buy	11/18/20	J		
31. DFA One-Year Fixed Income Inst (DFIHX)	A	Dividend			Buy	04/09/20	L		
32.					Sold	07/09/20	L		
33. DFA US Vector Eq (DFVEX)	A	Dividend			Sold	04/13/20	K		
34. DFA Intl Vector Equity Portfolio (DFVQX)	A	Dividend			Sold	04/13/20	K		

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35. College Foundation of North Carolina Account #1 (H)									
36. Vanguard Aggressive Track Age-Based Portfolio		None	J	T					
37. Vanguard Conservative Track Age-Based Portfolio		None	L	T	Buy (add'l)	12/30/20	J		
38. Vanguard Moderate Track Age-Based Portfolio		None	K	T	Buy (add'l)	12/30/20	J		
39. College Foundation of North Carolina Account #2 (H)									
40. Vanguard Aggressive Track Age-Based Portfolio		None	J	T					
41. Vanguard Conservative Track Age-Based Portfolio		None	K	T	Buy (add'l)	12/30/20	J		
42. Vanguard Moderate Track Age-Based Portfolio		None	K	T	Buy (add'l)	12/30/20	J		

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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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