

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) Dever, James C.	2. Court or Organization U.S District Court, EDNC	3. Date of Report 10/14/2021
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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. 2020	Agreement to teach as an adjunct law professor at Campbell University
2. 2020	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. 2020	Campbell University (wages)	\$6,000.00
2. 2020	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. 2020	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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Name of Person Reporting

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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 Whole Life Policy	A	Interest	K	T					
2. Northwestern Mutual Whole Life Policy	A	Interest	K	T					
3.									
4. PNC Bank Account	A	Interest	L	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)	B	Interest	K	T	Sold (part)	06/02/20	J	A	
9.					Buy (add'l)	12/09/20	J		
10.									
11. -DODIX (Dodge & Cox Income Fund)	A	Dividend	J	T	Buy	06/01/20	K		
12.					Sold (part)	10/30/20	J	A	
13. -DODGX (Dodge & Cox Stock Fund)	B	Dividend	K	T					
14. -JVMIX (John Hancock Disciplined Value Mid Cap Fund Class I)	A	Dividend	J	T	Buy (add'l)	03/20/20	J		
15.					Sold (part)	04/09/20	J	A	
16.					Sold (part)	05/28/20	J	A	
17. -POMPX (Pimco Income Fund Class I-2)	A	Dividend			Sold (part)	02/28/20	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	03/27/20	J	A	
19.									
20. -IBAFX (International Bond Fund of America Class F-2)	A	Dividend	K	T	Buy	02/28/20	J		
21.					Buy (add'l)	07/22/20	J		
22.									
23. -BRK B (Berkshire Hathaway Inc Cl B New Stock)	D	Dividend	K	T					
24.									
25.									
26. -DODWX (Dodge & Cox Global Stock Fund)	A	Dividend			Sold	05/29/20	K	A	
27. -FINFX (Fundamental Investor Class F-2)	B	Dividend	K	T	Sold (part)	02/21/20	J	A	
28.									
29. -SMCFX (Small Cap World Fund Class F2)	A	Dividend	K	T	Buy (add'l)	06/02/20	J		
30.									
31. -TTRZX (Templeton Global Return Fund)	A	Dividend			Buy (add'l)	02/20/20	J		
32.					Sold (part)	02/24/20	J	A	
33.					Sold (part)	02/24/20	J	A	
34.					Sold	03/20/20	J	A	

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35. -ANWFX (New Perspective Fund Class F-2)	A	Dividend	J	T	Sold (part)	02/21/20	J	A	
36. -NFFFX (New World Fund Class F-2)	B	Dividend	K	T	Sold (part)	07/17/20	J	A	
37.									
38. -CSDIX (Cohen & Steers Real Estate Securities Fund Class I)	A	Dividend	K	T	Sold (part)	04/09/20	J	A	
39.									
40. -CMGIX (Blackrock Midcap Growth Equity Insitutional Fund)	A	Dividend			Buy	05/28/20	J		
41.					Sold	10/08/20	J	A	
42.									
43. -WMFFX (Washington Mutual Investors Fund Class F-2)	A	Dividend			Buy	02/24/20	J		
44.					Buy (add'l)	02/26/20	J		
45.					Buy (add'l)	03/10/20	J		
46.					Sold	04/09/20	K	A	
47.									
48. -FEPIX (Fidelity Advisor Total Bond Fund Class I)	A	Dividend			Buy	02/20/20	J		
49.					Sold (part)	03/09/20	J	A	
50.					Sold	10/08/20	K	D	
51.									

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52. -AMCFX (AMCAP Fund Class F-2)	C	Dividend	K	T	Buy	04/14/20	K		
53.									
54. -ANBFX (American FundsStrategic Bond Fund Class F-2)	A	Dividend	J	T	Buy	06/08/20	K		
55.					Sold (part)	12/08/20	J	A	
56.									
57. -BCSSX (Brown Capital Management Small Company Fund Institutional Cl)	A	Dividend	J	T	Buy	06/08/20	K		
58.									
59. -GIBIX ((Guggenheim Total Return BondFund Institutional Class)	C	Dividend	K	T	Buy	10/09/20	K		
60.									
61. -PFPMX ((Parnassus Midcap Fund Institutional Class)	C	Dividend	K	T	Buy	04/09/20	J		
62.									
63. -ARKK (Ark ETF Tr Innovation ETF)	A	Dividend	J	T	Buy	10/09/20	J		
64.									
65. -EMQQ (Exchange Traded ConceptsTR EMQQ Emerging Mkts Internet & ECom)	A	Dividend	J	T	Buy	07/17/20	J		
66.									
67. -QQQ (Invesco QQQ TR Unit Ser 1)	B	Dividend	K	T	Buy	04/14/20	J		
68.									

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69. -ITOT (iShares TR Core S&P Total US Stk Mkt ETF)	B	Dividend	L	T	Buy	06/05/20	L		
70.					Sold (part)	06/08/20	K	B	
71.					Sold (part)	07/21/20	J	B	
72.					Buy (add'l)	10/30/20	K		
73.									
74. -IJH (iShares TR Core S&P Mid-Cap ETF)	A	Dividend	K	T	Buy	06/08/20	K		
75.									
76. -IJR (iShares TR Core S&P Small-Cap ETF)	A	Dividend	K	T	Buy	06/08/20	K		
77.									
78. Roman Catholic Diocese of Raleigh 403(b) Ret Plan (H)									
79. -T Rowe Retirement I 2030 Fund	A	Dividend	K	T					
80.									
81. Duke Faculty and Staff 403(b) Ret Plan (H)									
82. -Vanguard Institution Target Retirement 2025 mutual fund 2025	A	Dividend	K	T					
83.									
84. Trust (H)									
85. -Wachovia (now Wells Fargo) checking account	A	Interest	J	T					

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86. -Wachovia (now Wells Fargo) savings account	A	Interest	K	T					
87. -Kinecta Federal Savings & Loan checking account	A	Interest	L	T					
88. -Kinecta Federal Savings & Loan savings account	A	Interest	J	T					
89. -Kinecta Federal Savings & Loan Certificate of Deposit	A	Interest	M	T					
90. -New York Life whole life insurance policy	B	Interest	K	T					
91. -New York Life family whole life insurance policy	A	Interest	J	T					
92. -New York Life variable annuity (H)									
93. Mainstay VP Janus Henderson Balanced Initial Class 159	A	Dividend	K	T					
94. -USAA whole life insurance policy	A	Interest	L	T					
95.									
96. -Comcast Corp CL A stock	A	Dividend	K	T					
97. -Northrop Grumman Corp stock	D	Dividend	N	T					
98. -Raytheon Technologies Corporation stock	E	Dividend	O	T					
99. -3M Company stock	B	Dividend	L	T					
100. -Wells Fargo checking	A	Interest	J	T					
101. -Fidelity US Treasury Money Mkt	A	Interest	K	T					
102. -Huntington Ingall Indus stock	A	Dividend	K	T					

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103. --Chevron Corp stock	D	Dividend	M	T					
104. Fidelity Portfolio Advisory Service(H)									
105. -FDLXX (Fidelity Treasury Only Money Market)	B	Dividend	L	T					
106. -FDRXX (Fidelity Government Cash Reserves)	A	Dividend	L	T					
107. -CEMUX (Causeway Emerging Markets FD)	A	Dividend	J	T					
108. -DFCEX (DFA Emerging Markets Core Equ)	A	Dividend	J	T					
109. -FALCX (Strategic Advisors Large Cap Fund)	C	Dividend	M	T					
110. -FDGRX (Fidelity Growth)	A	Dividend	J	T					
111. -FEMKX (Fidelity Emerging Markets)	A	Dividend	J	T					
112. -FERGX (Fidelity SAI Emerging Markets Index)	A	Dividend	J	T					
113. -FGNSX (Strategic Adv Tax Sensitive Sho)	A	Dividend	K	T					
114. -FILFX (Strategic Advisors International)	B	Dividend	K	T					
115. -FSAMX (Strategic Advisors International)	B	Dividend	K	T					
116. --FSCFX (Strategic Advisors Small Mid-Cap)	A	Dividend	J	T					
117. -FSMNX (Fideltiy SAI Municipal Income)	A	Dividend	K	T					
118. -FSMUX (SAI Municipal Bond Fund)	A	Dividend	J	T					
119. -FVDFX (Fidelity Value Discovery)	A	Dividend	J	T					

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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)
120. -IJR (Ishares Core S&P Small Cap)	A	Dividend	J	T					
121. -IWD (Ishares Russell 1000 Value)	A	Dividend	J	T					
122. --IWF (Ishares TR Rus 1000 GRW)	A	Dividend	J	T					
123. -IYR (Ishares US Real Estate)	A	Dividend	J	T					
124. -LUAEX (LSV Value Equity Fund Investors)	A	Dividend	J	T					
125. -MSEGX (Morgan Stanley Growth Portfolio)	A	Dividend	J	T					
126. -MTBAX (Mainstay MacKay Tax Free Bond)	A	Dividend	J	T					
127. -OAKIX (Oakmark Intl Investors)	A	Dividend	J	T					
128. -PRFHX (T Row Price Tax Free High Yields)	A	Dividend	J	T					
129. -PRINX (T Rowe Price Summit Muni Income)	B	Dividend	K	T					
130. -QUAL (Ishares TR MSCI USA QCT FCT)	A	Dividend	J	T					
131. -SCMBX (OWS Managed Muni Bond Fund)	A	Dividend	J	T					
132. -TSWIX (Transamerica Intl Equity)	A	Dividend	J	T					
133. -VOE (Vanguard Mid Cap Value Index Fund)	A	Dividend	J	T					
134.									
135. -United Technologies Corp stock	A	Dividend			Closed	04/03/20	K	B	
136. -Carrier Global Corp. stock	A	Dividend	J	T	Spinoff (from line 135)	04/03/20	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)	(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)
137. -Otis Worldwide Corp. stock	A	Dividend	J	T	Spinoff (from line 135)	04/03/20	J		
138.									
139. -Johnson and Johnson stock	A	Dividend	M	T					
140. -News Corp Class A stock	A	Dividend	J	T					
141. -Morgan Stanley & Co. stock	A	Dividend	L	T					
142.									
143. -Disney Walt Company stock	A	Dividend	L	T					
144. -Fox Corp Class A stock	A	Dividend	K	T					
145. -Denton Cnty TX Fresh Water Supply Bond	A	Interest	J	T					
146. -California St Various Purp G/O Unltd Bond	A	Interest	K	T					
147. -California St RFDG Var Purp G/O Unlt Bond	A	Interest	K	T					
148. -Pasadena CA Area Cmnty CLLG Dist RFDG Bond	A	Interest	K	T					
149. -Portland OR SWR Sys Rev RFDG Bond	A	Interest	K	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

Dever, James C.

Date of Report

10/14/2021

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

1. With respect to line 11, I mistakenly listed the Dodge & Cox Income Fund (DODIX) on lines 11 and 27 in last year's report. I have listed DODIX only on line 11 this year.
2. With respect to lines 98, 135, 136, and 137, on April 3, 2020, United Technologies Corporation (UTC) completed its spin-offs of Carrier Global Corporation (now trading as CARR) and Otis Worldwide Corporation (now trading as OTIS) and completed the merger between UTC and Raytheon Company. As part of the merger, UTC's and Raytheon's names were changed to Raytheon Technologies Corporation and its shares began trading under that new name and the symbol RTX. I have used the new name on line 98. Carrier Global Corporation and Otis Worldwide Corporation also began trading separately as part of the spin-off. I have listed those two stocks on lines 136 and 137. Thus, my report next year will no longer list United Technologies Corporation. For the Type column in line 135, I selected the "Closed" description because it seemed to fit the transaction the best for the options given in the software.
3. With respect to lines 1,2, 90, 91, and 94, these are paid up whole life insurance policies. According to my insurance agent, there are no underlying investments for these paid up whole life policies.
4. With respect to lines 92 and 93, the asset listed on line 92 is a New York Life variable annuity. The asset allocation is 100% in Mainstay VP Janus Henderson Balanced - Initial Class - 159 as referenced on line 93.
5. With respect to lines 104 to 133, I have amended the report to list the mutual funds in this Fidelity Account. The mutual funds in this Fidelity Account are now listed in lines 105 to 133. I inadvertently omitted these mutual funds from my prior reports and simply reported the asset as Fidelity Portfolio Advisory Service. I will list the individual mutual funds in this asset in reports going forward.
6. In accordance with instructions from the Committee, I have corrected the reference to the type of income for any mutual funds in the report to Dividends (as opposed to Int./Div.).

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Name of Person Reporting

Dever, James C.

Date of Report

10/14/2021

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
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Washington, D.C. 20544