

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) Keesler, David C.	2. Court or Organization N Carolina - District Court	3. Date of Report 01/04/2022
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 01/01/2020 to 12/31/2020
	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. 2020	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.				

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Keesler, David C.	01/04/2022

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.		

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)
1. IRA #1 (H)									
2. -FIDELITY 500 INDEX FUND FXAIX	A	Dividend	K	T	Sold (part)	01/07/20	J		
3. -GOLDMAN SACHS TR FTIXX	A	Dividend			Sold (part)	01/10/20	J		
4.					Sold (part)	04/09/20	J		
5.					Sold (part)	07/10/20	J		
6.					Sold	10/09/20	J		
7. -HARTFORD MULT FDS INC MIDCAP FUND CL 1 HFMIX	B	Dividend	J	T					
8. -OPPENHEIMER DEV ODVYX	B	Dividend	J	T	Sold (part)	01/07/20	J		
9. -LOCORR INVT TRUST MACROSTRATEGIES FUND CLASS 1 LFMIX	A	Dividend	J	T					
10. -MFS SER TR I VALUE FD CL I MEIIX	C	Dividend	K	T	Sold (part)	01/07/20	J		
11. -MERIDIAN FD INC SMALL CAP GROWTH FD MISGX	A	Dividend	J	T					
12. -METROPOLITAN WEST FDS TOTAL RETURN BD FD CL I MWTIX	A	Dividend	K	T					
13. -MAINSTAY LARGE CAP GROWTH FD CL I MLAIX	A	Dividend	K	T					
14. -AMERICAN FUNDS EUROPACIFIC GROWTH FD CLASS F-2 AEPFX	A	Dividend	K	T	Sold (part)	07/15/20	J		
15. -PIMCO FDS PAC IVT MGMT SER EMERGING PEBIX	A	Dividend	J	T					
16. -PRINCIPAL FDS INC PHYTX	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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)
17. -UNDISCOVERED MANAGERS BEHAVIORAL VALUE CLASS I UBVLX	A	Dividend	J	T					
18. -NATIXIS FDS TR II ASG ASFYX	A	Dividend	J	T					
19. -VIRTUS FUNDS EMG MARKETS OPPORTUNITIES FND CL I HIEMX	A	Dividend	J	T					
20. -WELLS FARGO FUNDS TR SPECIAL MID CAP VALUE FD CL 1 WFMIX	A	Dividend	J	T					
21. BRIGHTHOUSE LIFE INS CO PROD C SHARE VARIABLE ANNUITY (H)									
22. -BRIGHTHOUSE ASSET ALLOCATION 60 PORTFOLIO	C	Dividend	K	T					
23. -AMERICAN FUNDS BAL ALLOCATION PORTFOLIO	C	Dividend	K	T					
24. 529 PLAN #1 (H)									
25. INTERMEDIATE BOND FDS 529 CL A CBOAX	A	Dividend			Distributed	07/30/20	J		
26. WASHINGTON FUNDS MUTUAL INVS FD CL 529-A CWMAX	A	Dividend			Distributed	01/27/20	J		
27. 529 PLAN #2 (H)									
28. THE INCOME FUND OF AMERICA 529 CL A CIMAX	A	Dividend	J	T	Sold (part)	07/15/20	J		
29.					Sold (part)	07/27/20	J		
30. CAPITAL WORLD GROWTH & INCOME FUND CL 529-A CWIAX	A	Dividend	J	T					
31. GROWTH FD OF AMERICA INC CL 529- A CGFAX	A	Dividend	J	T	Sold (part)	07/27/20	J		
32. AMERICAN FUNDS MONEY MARKET FUND CLASS 529-A AAFXX	A	Dividend	J	T	Sold (part)	01/07/20	J		
33.					Sold (part)	07/29/20	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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☐ NONE (No reportable income, assets, or transactions.)

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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)
34. IRA #4 (H)									
35. -BARON SELECT FUNDS EMERGING MARKETS FD INSTL SHS BEXIX	A	Dividend	J	T	Buy	06/16/20	J		
36. -EAGLE SMALL GAP GROWTH FUND CLASS I HSIIX	A	Dividend	J	T					
37. -DODGE & COX FDS INTL STK DODFX	A	Dividend			Sold	06/16/20	J		
38. -EATON VANCE SER II INCOME FUND INSTL CL EIBIX	A	Dividend	J	T					
39. -AMG FUNDS TIMESSQUARE MID CAP TQMIX	A	Dividend	J	T					
40. -GOLDMAN SACHS TR FINL SQ TREA FTIIX	A	Dividend	J	T	Buy (add'l)	06/17/20	J		
41. -HANCOCK JOHN CAP SER CLASSIC VALUE CL I JCVIX	A	Dividend			Sold	06/16/20	J		
42. -AMERICAN FUNDS WASHINGTON MUTUAL FD F2 WMFFX	A	Dividend	K	T	Buy (add'l)	06/16/20	J		
43. -OPPENHEIMER DEV MKTS ODVYX	A	Dividend	J	T					
44. -LAZARD FDS INC LZEMX	A	Dividend			Sold	06/16/20	J		
45. -MFS SER TR 1 VALUE FD CL 1 MEIIX	A	Dividend	J	T					
46. -MFS SER TR X EMERGING MKTS DEBT FD CLASS I MEDIX	A	Dividend	J	T					
47. -MAINSTAY LARGE CAP GROWTH FD CLASS I MLAIX	A	Dividend	J	T					
48. -WELLS FARGO FDS TR SMALL WEMIX	A	Dividend	J	T					
49. -T ROWE PRICE INTL FD OVERSEAS STK TROX	A	Dividend	K	T	Buy (add'l)	06/16/20	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
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50. -VIRTUS ASSET TR CERDEDEX MID CAP VALUE EQUITY FUND CLI SMVTX	A	Dividend	J	T					
51. -VICTORY PORTFOLIOS SMALL CO OPPTY FD VSOIX	A	Dividend	J	T					
52. -VOYA SER FD INC LARGE CAP GROWTH FD CL I PLCIX	A	Dividend	J	T					
53. -WELLS FARGO FDS TR CORE BOND FUND CLASS INST MBFIX	A	Dividend	J	T					
54. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG)	A	Interest	J	T					
55.									

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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

Line 26 CIMCX had a full share class exchange to CIMAX

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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
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Washington, D.C. 20544