

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) Norton, David C.	2. Court or Organization U.S. District Court	3. Date of Report 02/07/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge	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 P.O. Box 835 Charleston, SC 29402		
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.	Trustee	Article 5 Trust
2.	Trustee	Article 6 Trust
3.		
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Norton, David C.

Date of Report

02/07/2022

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	Web MD - Editorial Stipend
2. 2020	Private Consulting
3. 2020	Medical Director, Sharing Hope
4. 2020	Newberry Pathology Associates - Autopsy Services
5. 2020	Springer Publishing - Book Royalties
6. 2020	Medical Director, LifeHope Labs, Atlanta, GA
7. 2020	Editor, Cambridge University Press and College of American Pathologists Press
8.	

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.				

Name of Person Reporting	Date of Report
Norton, David C.	02/07/2022

4.
5.

Name of Person Reporting	Date of Report
Norton, David C.	02/07/2022

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. AES Corp		None	J	T					
2. Apergegy Corp		None			Merged (with line 6)	06/05/20	J		
3. AT &T #1	A	Dividend	J	T					
4. BP PLC ADR	A	Dividend	K	T					
5. Bristol Myers Squibb	A	Dividend	K	T					
6. Championix Corp Com		None	J	T					
7. Chevron Corp #1	A	Dividend	K	T					
8. Comcast Corp CL A #1	A	Dividend	K	T					
9. Corteva Inc	A	Dividend	J	T					
10. Walt Disney Co #1	A	Dividend	K	T					
11. Dover	A	Dividend	K	T					
12. Dow Inc #1	A	Dividend	J	T					
13. Dupont De Nemours Inc	A	Dividend	J	T					
14. Eli Lilly & Co #1	A	Dividend	K	T					
15. Emerson Electric	A	Dividend	K	T					
16. Energy Transfer Partners LP #1		None	K	T					
17. Fidelity Hereford Street Trust Daily Govt MM #1	A	Interest	M	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

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				
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	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. General Electric Co #1	A	Dividend	K	T					
19. Global Pmts Inc	A	Dividend	L	T					
20. Knowles Corporation		None	J	T					
21. Lincoln National Corp	A	Dividend	K	T					
22. Pfizer Inc #1		None			Sold	01/22/20	K	B	
23. Proctor & Gamble #1	A	Dividend	L	T					
24. Promontory FDIC - Joint Non Qualified		None	N	T					
25. South State Corp Com # 1	B	Dividend	N	T					
26. Suntrust Banks Inc		None			Merged (with line 28)	01/02/20	K		
27. Synovus Financial Corp	A	Dividend	J	T					
28. Truist Finl Corp Com		None	M	T					
29. Verizon Communications Inc #1	A	Dividend	J	T					
30. Wabtec Corp Inc		None	J	T					
31. Zimmer Biomet Hldgs Inc	A	Dividend	J	T					
32. Advantix Inc		None	J	T					
33. Alcoa Inc		None	J	T					
34. American Express Co	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

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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

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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				
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35. Amgen Inc	A	Dividend	K	T					
36. Arconic Inc		None	J	T					
37. AT&T Inc #2	A	Dividend	J	T					
38. Avanos Medical Inc		None	J	T					
39. Bank of America #1	A	Dividend	J	T					
40. Bank of New York Mellon Corp	A	Dividend	J	T					
41. Berkshire Hathaway Inc Cl B		None	K	T					
42. Charter Communications		None	J	T					
43. Chevron Corp #2	A	Dividend	K	T					
44. Cisco Sys Inc	A	Dividend	K	T					
45. Citigroup Inc	A	Dividend	K	T					
46. Fidelity Money Market Account	A	Interest	J	T					
47. Fidelity Money Market Account	A	Interest	K	T					
48. Coca-Cola Co	A	Dividend	K	T					
49. Comcast Corp CL A #2	A	Dividend	K	T					
50. Corteva Inc		None	J	T					
51. Walt Disney Co #2	A	Dividend	L	T					

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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52. Dow Inc	A	Dividend	J	T					
53. Dupont De Nemours Inc	A	Dividend	J	T					
54. DXC Technology Co.		None	J	T					
55. Duke Energy	A	Dividend	J	T					
56. Exxon Mobil Corp #1	A	Dividend	J	T					
57. Fidelity Hereford Street Trust Daily MM #2		None	K	T					
58. Garret Motion Inc		None	J	T					
59. General Electric #2	A	Distribution	J	T					
60. Goldman Sachs Group Inc	A	Dividend	J	T					
61. Hartford Financial Services Group	A	Dividend	J	T					
62. Hewlett Packard Inc Com	A	Dividend	J	T					
63. Home Depot Inc	B	Dividend	M	T					
64. Hommet Aerospace Inc		None	J	T	Spinoff (from line 36)	04/01/20	J		
65. Honeywell Intl Inc	A	Dividend	K	T					
66. Intel Corp	A	Dividend	K	T					
67. Kimberly Clark	A	Dividend	J	T					
68. Kraft-Heinz Foods Inc CL A	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

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Norton, David C.

Date of Report

02/07/2022

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.)

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69. McDonalds Corp	A	Dividend	L	T					
70. Merck & Co Inc New	A	Dividend	J	T					
71. Micro Focus Intl		None	J	T					
72. Microsoft Corp	A	Dividend	K	T					
73. Mondelez Intl Inc Com		None	J	T					
74. JP Morgan Chase & Co	A	Dividend	K	T					
75. Nokia Corp	A	Dividend	K	T					
76. Pepsico Inc	A	Dividend	K	T					
77. Perspecta Inc		None	J	T					
78. Pfizer Inc #2		None			Sold	01/22/20	K	B	
79. Phillip Morris Intl Inc	A	Dividend	J	T					
80. Proctor & Gamble #2	A	Dividend	K	T					
81. Promontory FDIC - Article 6 Trust		None	O	T					
82. Residio Technologies Inc		None	J	T					
83. Texas Instruments Inc	A	Dividend	L	T					
84. Travelers Companies Inc	A	Dividend	K	T					
85. Verizon Communications #2	A	Dividend	J	T					

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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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86. Wabtec Inc		None	J	T					
87. AT & T Inc # 3	A	Dividend	K	T					
88. Bank of America #2	A	Dividend	K	T					
89. Chemours Co	A	Dividend	J	T					
90. Chevron Corp #3	A	Dividend	L	T					
91. Citigroup Inc	A	Dividend	K	T					
92. CSX Corp	A	Dividend	M	T					
93. Corteva Inc	A	Dividend	J	T					
94. Dow Inc	A	Dividend	J	T					
95. Dupont De Nemours Inc	A	Dividend	J	T					
96. Eli Lilly & Co #2	A	Dividend	M	T					
97. Energy Transfer Partners LP #2	A	Dividend	K	T					
98. Exxon Mobil Corp #2	A	Dividend	K	T					
99. General Electric Co	A	Dividend	K	T					
100. International Business Machines (IBM)	B	Dividend	L	T					
101. Motorola Solutions Inc	A	Dividend	J	T					
102. Norfolk Southern	B	Dividend	N	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)

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103. Promontory FDIC- Article 5 Trust		None	M	T					
104. South State Corp Com #2	B	Dividend	M	T					
105. Wabtec Com		None	J	T					
106. Wells Fargo & Co	A	Dividend	K	T					
107. JNL Growth Allocation	A	Dividend	L	T					
108. JNL American Balanced	A	Dividend	L	T					
109. JNL American Funds Global Bond	A	Dividend	J	T					
110. JNL Invesco Small Cap Growth	A	Dividend	L	T					
111. JNL JP Morgan Midcap Growth	A	Dividend	L	T					
112. JNL Mellon Capital Consumer Disretionary Sector	A	Dividend	L	T					
113. JNL Mellon Capital Healthcare Sector	A	Dividend	L	T					
114. JNL Mellon Capital Nasdaq 100	A	Dividend	L	T					
115. JNL S&P 4	A	Dividend	L	T					
116. JNL S&P Competitive Advantage	A	Dividend	L	T					
117. JNL T Rowe Price Established Growth	A	Dividend	L	T					
118. Promontory FDIC- David IRA		None	O	T					
119. Wabtec Inc	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)

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120. Wells Fargo Co	A	Dividend	J	T					
121. Fidelity Hereford Street Trust Daily MM #3		None	J	T					
122. JNL Growth Allocation	A	Dividend	L	T					
123. JNL American Funds Balanced	A	Dividend	L	T					
124. JNL Invesco Small Cap Growth	A	Dividend	L	T					
125. JNL Morgan Midcap Growth	A	Dividend	L	T					
126. JNL Mellon Capital Consumer Discretionary Sector	A	Dividend	L	T					
127. JNL Mellon Capital Heathcare Sector	A	Dividend	L	T					
128. JNL Mellon Capital Nasdaq 100	A	Dividend	L	T					
129. JNL S&P 4	A	Dividend	L	T					
130. JNL S&P Competitive Advantage	A	Dividend	L	T					
131. JNL T Rowe Price Established Growth	A	Dividend	L	T					
132. Wells Fargo Co	A	Dividend	J	T					
133. South State Bank	C	Interest	L	T					
134. North Carolina Rental Property 100% Transylvania County, NC	A	Rent	P1	W					
135. Lain Farm, Johnson County, Indiana	E	Rent	P1	W					
136. South Carolina State Deferred Comp Plan	A	Dividend	L	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

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. South Carolina State Retirement Plan	B	Dividend	M	T					
138. MassMutual Life Ins (MML Equity Fund Portfolio)	A	Dividend	J	T					
139. Russell 2000 Index - Kim IRA	A	Dividend	K	T					
140. S & P 500 Index - Kim IRA	B	Dividend	M	T					
141. MSCI EAFE - Kim IRA	A	Dividend	K	T					
142. Promontory FDIC MM - Kim IRA		None	O	T					
143. Russell 2000 Index - Kim Non Qualified Acct.	A	Dividend	K	T					
144. S & P 500 Index - Kim Non Qualified Acct.	B	Dividend	M	T					
145. MSCI EAFE - Kim Non Qualified Acct.	A	Dividend	K	T					
146.									
147.									
148.									

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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Norton, David C.

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

Explanations for Part VII. Investments and Trusts

1. The rental property listed in Part VII, line 147 is located in Transylvania County, North Carolina, USA.

2. Lain Farm listed on line 148.

Lain Farm value cost R Annual Rental Income E (This property was purchased in 1981 and is located outside the city limits in Johnson County, Indiana, USA. Life Valuemark II

3. Article 5 Trust consist of lines: 87-106.

4. Article 6 Trust consist of lines: 32-86

5. Line 29 Verizon Communications erroneously ommitted from 2019 report.

6. Line 62 HP renamed Hewlettpackard Inc.

7. Line 66 Intel Corp was erroneously ommitted from 2019 report.

8. Line 136 South Carolina State Deferred Compnsation Plan and line 137 South Carolina State Retirement Plan are not "self-directed" plans. They both have investments that are directed and managed by the South Carolina's Treasurer's Office. These investments are unknown to the owners of the plans.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Norton, David C.

Date of Report

02/07/2022

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. Norton**

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