

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) Swank, Kimberly A.	2. Court or Organization US District Court, Eastern District of North Carolina	3. Date of Report 7/21/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge - Part-time	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 US Courthouse Annex 215 South Evans Street Greenville, NC 27858		
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. Director	Federal Magistrate Judges' Association
2. Trustee	
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

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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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

1.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. [REDACTED]	Tuition	None
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. State Employees' Credit Union Accounts	A	Int./Div.	L	T					
2. PNC Bank account	A	Interest	K	T					
3. Brokerage Acct #1 (IRA) (H)									
4. --OSI Oshares US (OUSA) (Y)									
5. --Invesco Tr S&P 500 Equal (RSP) (Y)									
6. --Ishares Min Vol (USMV) (Y)									
7. --Ishares US Stk Mkt (ITOT) (Y)									
8. --Wells Fargo Cash Sweep Acct (Y)									
9. --Wisdomtree Tr Euro H Eq (HEDJ) (Y)									
10. --First Tr Sr Loan (FTSL) (Y)									
11. --Vanguard Ind S&P 500 (VOO) (Y)									
12. --Ishares Short Mat (NEAR) (Y)									
13. --SPDR Bloomberg Floating (FLRN) (Y)									
14. --JP Morgan Ultra-Short (JPST) (Y)									
15. --Ishares Short Term Corp (IGSB) (Y)									
16. --First Tr Low Dur Mtg (LMBS) (Y)									
17. --SPDR Gold Tr (GLD) (Y)									

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.)

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18. --Ishares Core MSCI Em Mkt (IEMG) (Y)									
19. VOYA Index Plus Lg Cap (Y)									
20. Brokerage Acct #2 (H)									
21. -- T Rowe Price Blue Chip Growth Fund (Y)									
22. --AF EuroPac Gr (Y)									
23. --Dodge & Cox Intl (Y)									
24. --Fid 500 Index Inst (Y)									
25. --PIM Total RT Inst (Y)									
26. --Vang Tot Bd Mkt Inst (Y)									
27. --DFA US Sm Cap (Y)									
28. --Aristotle Val Eq (Y)									
29. --JPMCB PB 2030 (Y)									
30. Brokerage Acct #3 (H)									
31. --ABT	A	Dividend	K	T					
32. --D	A	Dividend	J	T					
33. --Janus Enterprise Fund (JAENX)	A	Distribution	J	T					
34.	A	Dividend							

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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(See Column C2)

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P4 =More than \$50,000,000

S =Assessment

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

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

T =Cash Market

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35. --Vanguard 500 Index Fund (VFINX)	A	Dividend	K	T					
36. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
37. Equitable Variable Life (Cash)	A	Interest	J	T					
38. NC 529 Plans (H)									
39. --Growth Portfolio (Age-Based, Aggressive Track)		None	M	T					
40. --Mod Growth Portfolio (Age-Based, Moderate Track)		None	J	T					
41. --Vanguard Growth		None	J	T					
42. --Vanguard Ttl Stock Mkt		None	J	T					
43. --Vanguard Agg Grwth (X)		None	J	T					
44. --Vanguard TTL Bond Mkt Indx (X)		None	J	T					
45. Brokerage Acct #4 (H)									
46. --Vanguard Intl Eq (VWO)	A	Dividend	J	T					
47. --Vanguard Int (VCIT) (X)	A	Dividend	J	T					
48. --Vanguard Ttl Bond (BND)	A	Dividend	J	T					
49. --Vanguard Ttl Stock (VTI)	A	Dividend	J	T					
50. --Vanguard FTSE Dev Mkt (VEA)	A	Dividend	J	T	Sold (part)	11/25/20	J		
51. --Vanguard Mid Cap (VO)	A	Dividend	J	T					

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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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52. --Vanguard ST Bond (BSV)	A	Dividend	J	T					
53. --Ishares S&P (IVV)	A	Dividend	J	T					
54. --Vanguard Value (VTV)	A	Dividend	J	T					
55. --Ishares Broad USD HY (USHY) (X)	A	Dividend	J	T					
56. --Schwab Fund Intl (FNDF)	A	Dividend	J	T	Buy	11/25/20	J		
57. --Wells Fargo Cash Sweep Acct (X)	A	Interest	J	T					
58. Brokerage Acct #5 (H)									
59. --ABBV	A	Dividend	J	T					
60. --AFLAC (AFL)	A	Dividend	J	T					
61. --Air Prods & Chem (APD)	A	Dividend	J	T	Sold (part)	08/18/20	J	A	
62. --Altria Grp (MO)	A	Dividend	J	T					
63. --Am Elec Pwr (AEP)	A	Dividend			Sold	10/23/20	J		
64. --Ameriprise (AMP) (Y)									
65. --Amgen (AMGN)	A	Dividend	J	T					
66. --Arthur J Gallagher (AJG)	A	Dividend	J	T					
67. --AT&T (T)	A	Dividend	J	T					
68. --Blackrock (BLK)	A	Dividend	J	T					

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69. --Bristol Myers (BMY)	A	Dividend	J	T	Buy	07/21/20	J		
70. --Chevron (CVX)	A	Dividend	J	T					
71. --CSCO	A	Dividend	J	T					
72. --Coca-Cola (KO)	A	Dividend	J	T					
73. --Crown Castle (CCI)	A	Dividend	J	T	Sold (part)	07/21/20	J	A	
74. --Emerson Elec (EMR)	A	Dividend	J	T					
75. --Exxon Mobil (XOM)	A	Dividend	J	T					
76. --Ford Motor (F) (Y)									
77. --Gilead Sci (GILD)	A	Dividend	J	T					
78. --Home Depot (HD)	A	Dividend	J	T					
79. --HP Inc (HPQ)	A	Dividend	J	T					
80. --Intel Corp (INTC)	A	Dividend	J	T					
81. --Johnson & Johnson (JNJ)	A	Dividend	J	T					
82. --JP Morgan (JPM)	A	Dividend	J	T					
83. --Liberty Prop REIT (LPT) (Y)									
84. --Lockheed Martin (LMT)	A	Dividend	J	T					
85. --LyondellBasell (LYB)	A	Dividend	J	T					

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86. --Merck & Co (MRK)	A	Dividend	J	T					
87. --MetLife (MET)	A	Dividend	J	T					
88. --MSFT	A	Dividend	J	T	Sold (part)	02/21/20	J	B	
89. --Pfizer (PFE)	A	Dividend	J	T					
90. --Philip Morris (PM)	A	Dividend	J	T					
91. --Phillips 66 (PSX)	A	Dividend	J	T					
92. --PNC Fin Svcs (PNC)	A	Dividend	J	T					
93. --Proctor & Gamble (PG)	A	Dividend	J	T					
94. --Prologis (PLD)	A	Dividend	J	T					
95. --Prudential Fin (PRU)	A	Dividend	J	T					
96. --Thomson Reuters (TRI)	A	Dividend	J	T					
97. --US Bancorp (USB)	A	Dividend	J	T					
98. --Verizon (VZ)	A	Dividend	J	T					
99. --Wal-Mart (WMT)	A	Dividend	J	T					
100. --Wells Fargo (WFC)	A	Dividend	J	T					
101. --Wells Fargo Cash Sweep Acct	A	Interest	J	T					
102. --Mondelez Intl (MDLZ)	A	Dividend	J	T					

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103. --Medtronic (MDT)	A	Dividend	J	T					
104. --Huntington Bancshares (HBAN)	A	Dividend	J	T					
105. --Ventas Inc (VTR) (Y)									
106. --Kinder Morgan (KMI)	A	Dividend	J	T					
107. --Pepsico (PEP)	A	Dividend	J	T					
108. --CMS Energy Corp (CMS) (Y)									
109. --Southern Co (SO)	A	Dividend	J	T					
110. --Keycorp (KEY)	A	Dividend	J	T					
111. --Tapestry Inc (TPR) (Y)									
112. --Valero (VLO)	A	Dividend			Sold	9/17/20	J		
113. --Caterpillar (CAT)	A	Dividend	J	T					
114. --Eastman Chem (EMN)	A	Dividend	J	T					
115. --Bank of America (BAC) (X)	A	Dividend	J	T					
116. --Citigroup (C) (X)	A	Dividend	J	T					
117. --ConocoPhillips (COP) (X)	A	Dividend	J	T					
118. --Corteva (CTVA) (X)	A	Dividend	J	T					
119. --CVS (CVS) (X)	A	Dividend	J	T					

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120. --General Dynamics (GD) (X)	A	Dividend	J	T					
121. --Public Service Ent Grp (PEG) (X)	A	Dividend	J	T					
122. --Tyson Foods (TSN) (X)	A	Dividend	J	T					
123. --WP Carey (WPC) (X)	A	Dividend	J	T					
124. --Comcast (CMCSA) (X)	A	Dividend	J	T	Buy (add'l)	08/18/20	J		
125. --Amcor PLC (AMCR) (X)	A	Dividend	J	T					
126. --Broadcom (AVGO) (X)	A	Dividend	J	T					
127. --Celanese Corp (CE) (X)		None	J	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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Swank, Kimberly A.

Date of Report

7/21/2021

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

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Name of Person Reporting

Swank, Kimberly A.

Date of Report

7/21/2021

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/ **Kimberly A. Swank**

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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One Columbus Circle, N.E.
Washington, D.C. 20544