

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 08/12/2014
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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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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. 12/31/13	PACIFIC 2.1 ENTERTAINMENT - INCOME FROM FILMING TV SERIES AT RESIDENCE	\$24,864.00
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.)*

DATE	SOURCE AND TYPE
1. 2013	K. Interiors-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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Chapel Hill Moot Trail	02/22/13	Chapel Hill, NC	Moot Court Judge	Hotel, Meals
2. North Carolina Association of Defense Attorneys	06/13/13 - 06/15/13	Hilton Head Island, SC	Annual Meeting - Guest Judge	Registration Fees, Hotel, Meals & Reception, Mileage Stipend
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.	Trinity Episcopal School	Tuition	J
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. WELLS FARGO (X)	A	Dividend	J	T					
2. IRA #1	C	Dividend	M	T					
3. -ARTISAN PARTNERS FDS SMAL CAP FDS ARTSX									
4. -BLAIR WILLIAM FDS BIGIX									
5. -DELAWARE GROUP DEUIX					Buy (add'l)	06/27/13	J		
6. -HIGHMARK FDS GENEVA MID CAP GROWTH PNMFX					Sold	06/26/13	J		
7. -EATON VANCE EIGMX					Sold	06/26/13	J		
8. -GOLDMAN SACHS TR FTIXX					Buy (add'l)	06/27/13	J		
9. -JOHN HANCOCK FDS JHAIX					Buy	06/26/13	J		
10. -HARRIS ASSOC INVT TR OAKMARK INTL FD OAKIX									
11. -PYXIS LONG/SHORT EQUITY FUND CLASS Z HEOZX					Sold	06/26/13	J		
12. -HOTCHKIS & WILEY HWMIX					Sold (part)	06/26/13	J		
13. -JANUS INVT FD JFLEX					Sold (part)	10/15/13	J		
14. -JOHN HANCOCK JCUIX					Sold	06/26/13	J		
15. -MAINSTAY FDS TR MFLDX					Buy	06/26/13	J		
16. -JP MORGAN TR 1 JLP SX					Buy (add'l)	06/27/13	J		
17. -NATIONWIDE MUT FDS NWHYX (X)									

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 = \$250,000.001 - \$500,000.000	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 \$5,000,000	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.)

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 I (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)

18. -NEUBERGER BERMAN ALTERNATIVE FDS NLSIX					Buy	06/25/13	J		
19. -BLACKROCK FDS EMERGING MKT LONG/SHORT BLSIX									
20. -PUTNAM ABSOLUTE RETURN 700 CL Y PDMYX					Sold (part)	06/26/13	J		
21. -HEARTLAND VALUE PLUS FD CL INSTITUTIONAL HNVIX									
22. -OPPENHEIMER DEV ODVYX									
23. -PIMCO FDS PAC INVT PTRRX									
24. -PIMCO FDS FAC INVT PCRIX									
25. -DREYFUS EMERGING DRPEX									
26. -T ROWE PRICE TRREX									
27. -TCW DIVERSIFIED VALUE TGDIX					Buy (add'l)	10/15/13	J		
28. -NATIXIX FDS TR II ASFYX									
29. -METLIFE INVS USA C SHAR VARIABLE ANNUITY									
30. IRA # 2	D	Dividend	M	T					
31. -JP MORGAN PRIME MONEY MARKET SWEEP-CAPITAL									
32. -CHEVRON CORPORATION CVX									
33. -DISNEY WALT COMPANY DIS									
34. -EXXON MOBIL CORP XOM									

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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	
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.)

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)
35. -GENERAL ELECTRIC COMPANY GE									
36. -JOHNSON & JOHNSON JNJ									
37. -MICROSOFT CORP MSFT									
38. -PROCTER & GAMBLE CO PG									
39. -SPDR GOLD TRUST GLD									
40. -AEGIS VALUE FUND INC AVALX					Buy	05/23/13	K		
41. -DODGE & COX INTL STOCK FUND DODFX									
42. -JANUS INVT FD JMVAX									
43. -PIMCO FDS PAC INVT PTRRX					Sold (part)	02/26/13	J		
44. -ROYCE PREMIER FUND RPRWX					Sold (part)	05/21/13	J		
45.					Sold	05/24/13	J		
46. -T ROWE PRICE MID CAP GROWTH FUND RPMGX									
47. -TEMPLETON FUNDS INCOME TGBAX					Sold (part)	11/26/13	J		
48. -THORNBURG INTL TGVIX									
49. -VANGUARD TOTAL BD MKT VBMFX					Sold (part)	01/15/13	J		
50.					Sold (part)	06/27/13	J		
51.					Sold	07/02/13	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)

52. -VANGUARD/WINDSOR FUND VWFAX									
53. IRA #3	A	Dividend	J	T					
54. -COLUMBIA ACORN FUND CLASS C LIACX									
55. BROKERAGE ACCOUNT #1									
56. -WELLS FARGO BANK DEPOSIT SWEEP	A	Dividend	J	T					
57. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	J	T					
58. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
59. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
60. THE INCOME FUND OF AMERICA 529 CL C CIMCX	A	Dividend	J	T					
61. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
62. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	J	T					
63. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
64. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
65. THE INCOME FUND OF AMERICA 529 C CIMCX	A	Dividend	J	T					
66. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
67. BROKERAGE ACCOUNT #2									
68. -AMER BALANCED FD INC BALFX	A	Dividend	J	T					

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69. IRA #4	B	Dividend	L	T					
70. -AIM GLOBAL REAL ESTATE ARGYX									
71. -MANAGERS AMG FDS TMDPX									
72. -BLAIR WILLIAM FDS INTL GROWTH BIGIX									
73. -CAMBIAR OPPORTUNITY FD CAMWX									
74. -DELAWARE GROUP ADVISOR FDS DEUIX									
75. -DELAWARE GROUP EQUITY FD 11-VALUE FD DDVIX									
76. -DREYFUS APPRECIATION FD INC DGAGX									
77. -DWS DREMAN SMALL CAP KDSSX					Sold	09/03/13	J		
78. -FIRST EAGLE FUNDS SOGEN OVERSEAS FUND CLI SGOIX									
79. -RS INVT TR EMERGING MKTS FD RSENX					Sold	02/20/13	J		
80. -GOLDMAN SACHS TR FTIXX									
81. -HANCOCK JOHN CAP SER CLASSIC VALUE CL I JCVIX									
82. -HARBOR INTERNATIONAL INSTL CL HAINX									
83. -EAGLE SMALL GAP GROWTH FUND CLASSI HSIX									
84. -HOTCHKIS & WILEY FDS MID CAP HWMIX									
85. -KEELEY FDS INC SMALL KSCIX									

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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86. -LAZARD FDS INC LZEMX					Buy	02/22/13	J		
87. -MORGAN STANLEY INSTL MPEGX									
88. -OPPENHEIMER DEV MKTS ODVYX									
89. -PIMCO FDS PAC INVT PCRIX									
90. -SECURITY EQUITY FD MID SEVAX									
91. -TOUCHSTONE LARGE CAP TIQIX									
92. -WELLS FARGO FDS TR SMALL WEMIX									
93. -VICTORY PORTFOLIOS SMALL CO OPPTY FD VSOIX					Buy	09/05/13	J		
94. IRA # 5	A	Dividend	K	T					
95. -DAVIS NEW YORK VENTURE FUND INC CL C NYVCX									
96. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG)	A	Interest	K	T					

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

LINE 17 - Became reportable in 2013 with no corresponding transaction.

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