

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) DIAZ, ALBERT	2. Court or Organization FOURTH CIRCUIT	3. Date of Report 07/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address FIFTH THIRD CENTER 201 N. TRYON ST., SUITE 1440 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member	Contracts Law Drafting Committee, National Conference of Bar Examiners
2.	Board of Advisors	Wake Forest University School of Law Journal of Law & Policy
3.	Board of Advisors	George Mason Antonin Scalia Law School Judicial Education Program
4.	Executive Committee (Budget Officer)	Appellate Judges Conference, American Bar Association
5.	Board of Directors (Treasurer)	Appellate Judges Educational Institute

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. 2006	Judicial Retirement Plan, receiving annual pension from the State of North Carolina for prior service as a state trial judge
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Multistate Bar Exam Contracts Drafting Committee, National Conference of Bar Examiners stipend	\$7,000.00
2. 2016	North Carolina Judicial Retirement	\$21,597.03
3. 2016	Marquette University School of Law (Lecture)	\$5,000.00
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. 2016	Carolinas Healthcare System, 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association	2/04/16 to 2/07/16	San Diego, CA	Attend mid-year bar meeting	Transportation, meals, hotel
2. Marquette University School of Law	3/1/16 to 3/3/2016	Milwaukee, WI	Deliver Lecture	Transportation, meals, hotel,
3. New York University School of Law	4/1/16 to 4/3/2016	New York, NY	Attend Alumni Awards Dinner	Transportation, meals, hotel
4. National Conference of Bar Examiners	4/7/16 to 4/10/16	Santa Fe, NM	Attend contracts law committee meeting	Transportation, meals, hotel
5. Furman University	4/17/16	Greenville, SC	Preside over Moot Court competition	Transportation, meals

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6.	US Marine Corps	4/29/2016	Camp Lejeune, NC	Attend and speak at Judge Advocate Dinner	Meals
7.	North Carolina Bar Association	7/7/2016	Cary, NC	Speak at CLE Program	Transportation, Meals,
8.	American Bar Association	8/4/16 to 8/7/16	San Francisco, CA	Attend annual meeting	Transportation, meals
9.	National Conference of Bar Examiners	9/8/16 to 9/11/16	Portland, ME	Attend contracts law committee meeting	Transportation, meals, hotel
10.	Just the Beginning Foundation	9/15/16 to 9/18/16	New York, NY	Attend conference	Transportation, meals, hotel
11.	Liberty University School of Law	9/24/16 to 9/25/16	Lynchburg, VA	Preside over Moot Court competition	Transportation, meals, hotel
12.	North Carolina State Bar	10/27/16	Raleigh, NC	Speak at Bar Dinner	Transportation, meals
13.	George Mason Antonin Scalia Law School	12/1/16 to 12/3/16	Arlington, VA	Attend judicial education program	Transportation, meals, hotel

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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.	Law Clerks	Painting for Five Year Reunion (2015)	\$1,500.00
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.	Sigma Development Co., Inc.	Rental Agreement (Guaranty)	J
2.	American Express	Revolving Charge Card	J
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. Vanguard Primecap Fund Admiral IRA	D	Dividend	M	T					
2. Vanguard 500 Index Fund Admiral IRA	B	Dividend	M	T					
3. T. Rowe Price Mid Cap Growth Fund IRA	A	Dividend	J	T					
4. T. Rowe Price Prime Reserve Fund	A	Dividend			Sold	06/06/16	J		
5. T. Rowe Price Capital Appreciation Fund IRA	B	Dividend	K	T					
6. USAA Insurance Co. Subscriber Account		None	J	T					
7. Navy Federal Credit Union Accounts	A	Interest	K	T					
8. Vanguard Total Stock Market Index Fund Institutional Shares 401K	B	Int./Div.	L	T					
9. Vanguard Total Bond Index Fund Institutional Shares 401K	C	Int./Div.	M	T					
10. Vanguard Midcap Index Fund Institutional Shares 401K	A	Int./Div.	L	T					
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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

Part V (Gifts): I received the gift reported in Part V from my law clerks in 2015 during my five-year reunion. I mistakenly neglected to report it last year.

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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/ ALBERT DIAZ

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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