

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Numbers, Robert T.	2. Court or Organization U.S. District Court, Eastern District North Carolina	3. Date of Report 05/04/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full-Time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 02/28/2015
7. Chambers or Office Address United States District Court Terry Sanford Federal Building 310 New Bern Ave. Raleigh, NC 27601-1418		
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. Administrator	Estate #1
2. Employee	Womble Carlyle Sandridge & Rice, LLP
3. Commissioner	Wake County Citizens Energy Advisory Commission
4. Panel Member	University of North Carolina Unstead Review Panel
5. Local Lawyers Chapter Chair	Federalist Society
6. Co-Chair	Lincoln List

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.	

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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. 2013	Womble Carlyle Sandridge & Rice, LLP - Salary	\$152,563.00
2. 2014	Womble Carlyle Sandridge & Rice, LLP - Salary	\$139,245.00
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.	
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. Exempt				
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.	Exempt		
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.	Discover Student Loan #1	Law School Loan	J
2.	Discover Student Loan #2	Law School Loan	J
3.	Discover Student Loan #3	Law School Loan	J
4.	Discover Student Loan #4	Law School Loan	J
5.	NelNet Student Loan #1	Law School Loan	K
6.	NelNet Student Loan #2	Law School Loan	K

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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. Investment Account #1 (H)					Exempt				
2. --BMO Aggressive Allocation	A	Int./Div.	K	T					
3. --BMO Diversified Stock Fund	A	Int./Div.							
4. --Dodge & Cox International Stock	A	Int./Div.	J	T					
5. --Goldman Sachs Small Cap Value	A	Int./Div.	J	T					
6. --Lazard Emerging Markets Equity	A	Int./Div.	J	T					
7. --Royce Premier	B	Int./Div.	K	T					
8. --T. Rowe Price Retirement 2040	B	Int./Div.	K	T					
9. --Vanguard Institutional Index	B	Int./Div.	M	T					
10. --Vanguard Short Term Corporate Bond	A	Int./Div.	K	T					
11. --Vanguard Total International Stock	A	Int./Div.	K	T					
12. Investment Account #2 (H)									
13. --Vanguard 500 Index Fund Investor Shares	A	Int./Div.	J	T					
14. --Vanguard Long-Term Bond Index Fund	A	Int./Div.	J	T					
15. College Foundation of North Carolina Account #1 (H)									
16. --Vanguard Aggressive Growth Portfolio	A	Int./Div.	J	T					
17. --Vanguard Conservative Growth Portfolio	A	Int./Div.	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 H = \$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	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. --Vanguard Moderate Growth Portfolio	A	Int./Div.	J	T					
19. College Foundation of North Carolina Account #2 (H)									
20. --Vanguard Aggressive Growth Portfolio		None	J	T					
21. --Vanguard Conservative Growth Portfolio		None	J	T					
22. --Vanguard Moderate Growth Portfolio		None	J	T					
23. Wells Fargo Accounts	A	Int./Div.	K	T					
24. Land in Cary, North Carolina		None	N	W					
25. RiverSource Variable Universal Life IV Insurance (H)									
26. --Fixed Account	A	Int./Div.	J	T					
27. --Columbia Variable Portfolio Diversified Bond Fund (Class 3)		None	J	T					
28. --Columbia Variable Portfolio Dividend Opportunity Fund (Class 3)		None	J	T					
29. --AllianceBernstein VPS International Value Portfolio		None	J	T					
30. --AllianceBernstein VPS Growth & Income Portfolio		None	J	T					
31. --Fidelity VIP Mid Cap Portfolio Service Class 2		None	J	T					
32. --FTVPT Franklin Global Real Estate VIP Fund - Class 2		None	J	T					
33. --Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares		None	J	T					
34. --Wanger USA		None	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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35. RiverSource Variable Universal Life IV ES Insurance (H)									
36. --Fixed Account	A	Int./Div.	J	T					
37. --Columbia Variable Portfolio Diversified Bond Fund (Class 3)		None	J	T					
38. --Columbia Variable Portfolio Dividend Opportunity Fund (Class 3)		None	J	T					
39. --AllianceBernstein VPS International Value Portfolio		None	J	T					
40. --AllianceBernstein VPS Growth & Income Portfolio		None	J	T					
41. --Fidelity VIP Mid Cap Portfolio Service Class 2		None	J	T					
42. --FTVIPT Franklin Global Real Estate VIP Fund - Class 2		None	J	T					
43. --Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares		None	J	T					
44. --Wanger USA		None	J	T					
45. Estate #1 (H)									
46. --Cash in Attorney Trust Account (Bank of America)		None	J	T					
47.									
48.									
49.									

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

Part I, Line 1 - Executor of [REDACTED]. No executor fee received. Estate closing documents have been submitted to local clerk of court. Filer's [REDACTED] is a beneficiary of the estate.

Part I, Line 2 - Resigned from firm to accept appointment.

Part I, Line 3 - Resigned at time of appointment.

Part I, Line 4 - Resigned at time of appointment.

Part I, Line 5 - Resigned prior to appointment.

Part I, Line 6 - Attorney networking group. Resigned prior to appointment.

Part VI, Line 17 - Value is estimated based upon offers to purchase land over the last seven years. (Per conversation with K. Silbaugh on 3/25/15)

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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/ Robert T. Numbers**

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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