

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Gates, James E.	2. Court or Organization N.C.--Eastern District	3. Date of Report 05/14/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address Terry Sanford Federal Building and Courthouse 310 New Bern Avenue Raleigh, NC 27601		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2018

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2017

North Raleigh United Methodist Church--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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2018

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Gates, James E.

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05/14/2018

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. IRA Account #1 (H)									
2. --UBS Bank Account	A	Interest	J	T					
3. --Fundamental Investors (American Funds)	D	Dividend	M	T	Sold (part)	12/15/17	L	A	
4. --Growth Fund of America (American Funds)	D	Dividend	M	T	Sold (part)	12/15/17	L	A	
5. --Investment Co. of America (American Funds)	D	Dividend	M	T					
6. --New Economy Fund (American Funds)	D	Dividend	M	T	Sold (part)	12/15/17	L	A	
7. --New Perspective Fund (American Funds)	A	Dividend			Sold	12/15/17	L	A	
8. --Small Cap World Fund (American Funds)	A	Dividend			Sold	12/15/17	K	A	
9. --Washington Mutual Investors Fund (American Funds)	D	Dividend	M	T	Sold (part)	12/15/17	K	A	
10. --I Shares S&P Small Cap 600 Value Index Fund	A	Dividend			Sold	12/15/17	L	A	
11. --I Shares S&P Small Cap 600 Growth Index Fund	A	Dividend			Sold	12/15/17	L	A	
12. --I Shares S&P Mid Cap 400 Value Index Fund	A	Dividend			Sold	12/15/17	L	A	
13. --I Shares S&P Mid Cap 400 Growth Index Fund	A	Dividend			Sold	12/15/17	L	A	
14. --U.S. Treasury (I bonds, notes)	A	Interest	J	T					
15. --Oppenheimer International Bond Fund	A	Dividend			Sold	12/15/17	K	A	
16. --Franklin Templeton Gloabl Bond Fund	A	Dividend			Sold	12/15/17	K	A	
17. --Delaware Limited Term Bond Fund	C	Dividend			Sold	12/15/17	M	A	

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

Page 5 of 8

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Gates, James E.

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05/14/2018

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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)

18. --Victory Incore Low Duration Bond Fund	B	Dividend			Sold	12/15/17	M	A	
19. --Euro Pacific Bond Fund (American Funds)	A	Dividend			Sold	12/15/17	K	A	
20. --American Balanced Fund (American Funds)	D	Dividend	M	T	Buy	12/15/17	M		
21. --Capital Income Builder (American Funds)	D	Dividend	M	T	Buy	12/15/17	M		
22. --The Bond Fund of America (American Funds)	A	Dividend	N	T	Buy	12/15/17	N		
23. --The Income Fund of America (American Funds)	D	Dividend	M	T	Buy	12/15/17	M		
24. Brokerage Account (H)									
25. --Vanguard 500 Index Fund	B	Dividend	L	T					
26. --Vanguard Small Cap Index Fund	A	Dividend	K	T					
27. --Vanguard Mid Cap Index Fund	A	Dividend	K	T					
28. --Vanguard Prime Money Market Fund	B	Dividend	M	T					
29. --Vanguard Tax-Managed Balance Fund	B	Dividend	L	T					
30. IRA Account #2 (H)									
31. --Vanguard Small Cap Index Fund	A	Dividend	J	T					
32. --Vanguard Mid Cap Value Fund	A	Dividend	J	T					
33. --Vanguard 500 Index Fund	A	Dividend	L	T					
34. --Vanguard Short Term Investment Grade Fund	A	Dividend	K	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Gates, James E.

Date of Report

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35. --Vanguard Prime Money Market Fund	A	Dividend	K	T	Sold (part)	09/01/17	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2018

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

Part III.B, line 1. Spouse's income paid Jan. through May and Sept. through Dec. in reporting period.

Part VII, lines 29, 31, 32, 33. The term "Admiral" has been omitted from the names of the investments listed because the names are complete without it.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Gates, James E.

Date of Report

05/14/2018

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/ James E. Gates**

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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