

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) Biggs, Loretta C.	2. Court or Organization U.S. District Court - Middle District of North Carolina	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	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 United States District Court Hiram H. Ward Federal Building and U.S. Courthouse 251 N. Main Street, Suite 246 Winston-Salem, NC 27101		
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.		
2.		
3.		
4.		
5.		

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.	2004	State of NC Judicial Retirement Defined Benefit - No Control
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	State of North Carolina Retirement Pension	
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.)*

<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.				
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.	Department of Education	Loan	K
2.	Roundtreet Mortgage	Mortgage on Investment Property	M
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. Brokerage Account #1	A	Dividend	L	T					
2. American Balanced Classic C	A	Dividend	K	T					
3. Prudential Variable Appreciable Life Insurance Policy									
4. -PSF Equity		None	K	T					
5. Wells Fargo Bank "Account" A	A	Interest	K	T					
6. State Employees Credit Union "Account" A	A	Interest	J	T					
7. First Tennessee "Account" A	A	Interest	K	T					
8. First Tennessee IRA	D	Int./Div.	N	T					
9. -First Tennessee Bank Deposit Account	A	Int./Div.	J	T					
10. -DFA Dimensional 1 Year Fixed Income	B	Int./Div.			Sold	09/06/17	K	A	
11. -DFA Five Year Global Fixed Inc	B	Int./Div.			Sold	09/06/17	K	A	
12. -DFA Short Term Government Port	B	Int./Div.			Sold	09/06/17	K	A	
13. -DFA 2-Yr Gbl Fixed Inc Port	B	Int./Div.			Sold	01/24/17	K	A	
14. -DFA Emerging Markets Sml Cap	A	Int./Div.			Sold	10/06/17	J	B	
15. -DFA Emerging Markets Value	A	Int./Div.			Sold	10/06/17	J	C	
16. -DFA Emerging Markets Portfolio	A	Int./Div.			Sold	10/06/17	J	B	
17. -DFA Int Val Port	B	Int./Div.			Sold	10/06/17	K	C	

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000 (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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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)

18. -DFA International Small Co	A	Int./Div.			Sold	10/06/17	K	C	
19. -DFA Intl Small Cap Value Portfolio	A	Int./Div.			Sold	10/06/17	K	C	
20. -DFA US Core Equity 2 Port	B	Int./Div.			Sold	10/06/17	L	D	
21. -US Vector Equity Portfolio	A	Int./Div.			Sold	10/06/17	L	D	
22. Lord Abbett Floating Rate-I	E	Int./Div.	K	T	Buy	09/06/17	K		
23. PIMCO Global Bd USD	E	Int./Div.	K	T	Buy	09/06/17	K		
24. Vanguard Intm Term Corp-Adm	E	Int./Div.	K	T	Buy	09/06/17	K		
25. Vanguard S/T Invest Gr-Adm	E	Int./Div.	K	T	Buy	09/06/17	K		
26. -DFA Emerg Mkts Core Equity	B	Int./Div.	J	T	Buy	10/06/17	J		
27. -DFA Intl Vector Equity PT	B	Int./Div.	L	T	Buy	10/06/17	L		
28. -DFA Real Estate Secs Port	A	Int./Div.	K	T	Buy	01/24/17	K		
29. -DFA US L/C Value Port	A	Int./Div.	K	T	Buy	12/18/17	K		
30. -DFA US Large CO Port	B	Int./Div.	L	T	Buy	12/18/17	L		
31. -DFA US Small Cap Portfolio	A	Int./Div.	K	T	Buy	12/18/17	K		
32. Rental Property #1 Winston-Salem, NC Appraisal Date 10/17/2014**	D	Rent	M	Q	Open		M		
33.									
34.									

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.)*

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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/ **Loretta C. Biggs**

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