

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) Numbers, Robert T.	2. Court or Organization U.S. District Court, Eastern District North Carolina	3. Date of Report 05/15/2017
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 01/01/2016 to 12/31/2016
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.		
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.		
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. 12-9-16	Wal-Mart Pennsylvania Class Action (see Part VIII)	\$447.10
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. Antonin Scalia Law School at George Mason University	May 1-6, 2016	Arlington, Virginia	Judicial Education Program	Food, transportation, and lodging
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.	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	J

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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)									
2. Dodge & Cox International Stock	A	Int./Div.			Sold	10/25/16	K	A	
3. Goldman Sachs Small Cap Value	A	Int./Div.			Sold	10/25/16	M		
4. Lazard Emerging Markets Equity	A	Int./Div.			Sold	10/25/16	K		
5. Retirement 2040 Port	A	Int./Div.			Sold	10/25/16	K		
6. Retirement 2050 Port	A	Int./Div.			Sold	10/25/16	J	A	
7. Vanguard Institutional Index	B	Int./Div.			Sold	10/25/16	J	A	
8. Vanguard Short Term Corporate Bond	A	Int./Div.			Sold	10/25/16	K		
9. Vanguard Total International Stock	A	Int./Div.			Sold	10/25/16	K		
10. Investment Account #2 (H)									
11. Vanguard 500 Index Fund Investor Shares	A	Int./Div.	J	T					
12. Retirement Account #1 (H)									
13. Vanguard Institutional Index Fund Institutional Shares	A	Int./Div.	J	T	Buy	02/16/16	J		
14. Retirement Account #2 (H)									
15. TD Bank (cash account)	A	Interest	J	T	Open	10/26/16	N		
16. DFA Select Hedge Gbl Fixed Income Fund (DFSHX)	A	Int./Div.	K	T	Buy	11/01/16	K		
17. DFA Inflation Protected Sec PTF (DIPSX)	A	Int./Div.	J	T	Buy	11/01/16	J		

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	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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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 Core Equ PTF (DFIEX)	A	Int./Div.	K	T	Buy	11/01/16	K		
19. DFA US Vector Eq (DFVEX)	B	Int./Div.	L	T	Buy	11/01/16	L		
20.					Sold (part)	12/15/16	J		
21. DFA US Core Equity 2 (DFQTX)	A	Int./Div.	L	T	Buy	11/01/16	L		
22. DFA Emerging Markets Core Equity 1 (DFCEX)	A	Int./Div.	K	T	Buy	11/01/16	K		
23.					Buy (add'l)	12/15/16	J		
24. DFA World Ex US Govt Fix Inc Inst (DWFIX)	A	Int./Div.	J	T	Buy	11/01/16	J		
25. DFA Investment Grade PTF (DFAPX)	A	Int./Div.	K	T	Buy	11/01/16	K		
26.					Buy (add'l)	12/15/16	J		
27. DFA Short Term Ext Quality PTF (DFEQX)	A	Int./Div.	J	T	Buy	11/01/16	J		
28. DFA Intl Vector Equity Portfolio (DFVQX)	A	Int./Div.	K	T	Buy	11/01/16	K		
29.					Buy (add'l)	12/15/16	J		
30. DFA Global Real Estate Sec PTF (DFGEX)	B	Int./Div.	K	T	Buy	11/01/16	K		
31. DFA International Value I (DFIVX)	A	Int./Div.	K	T	Buy	11/01/16	K		
32. College Foundation of North Carolina Account #1 (H)									
33. Vanguard Conservative Growth Portfolio		None	J	T					
34. Vanguard Moderate Growth Portfolio		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. College Foundation of North Carolina Account #2 (H)									
36. Vanguard Conservative Growth Portfolio		None	J	T					
37. Vanguard Moderate Growth Portfolio		None	J	T					
38. RiverSource Variable Universal Life IV Insurance (H)									
39. Columbia Variable Portfolio Intermediate Bond Fund (Class 3)		None	J	T					
40. Columbia Variable Portfolio Dividend Opportunity Fund (Class 3)		None	J	T					
41. AllianceBernstein VPS International Value Portfolio		None	J	T					
42. AllianceBernstein VPS Growth & Income Portfolio		None	J	T					
43. Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares		None	J	T					
44. Wanger USA		None	J	T					
45. RiverSource Variable Universal Life IV ES Insurance (H)									
46. Columbia Variable Portfolio Intermediate Bond Fund (Class 3)		None	J	T					
47. Columbia Variable Portfolio Dividend Opportunity Fund (Class 3)		None	J	T					
48. AllianceBernstein VPS International Value Portfolio		None	J	T					
49. AllianceBernstein VPS Growth & Income Portfolio		None	J	T					
50. Fidelity VIP Mid Cap Portfolio Service Class 2		None	J	T					
51. FTVIP Franklin Global Real Estate VIP Fund - Class 2		None	J	T					

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52. Goldman Sachs VIT Mid Cap Value Fund - Institutional Shares		None	J	T					
53. Wanger USA		None	J	T					
54. Misc. Holdings (H)									
55. Wells Fargo Accounts	A	Int./Div.	K	T					
56. Land in Cary, North Carolina		None	N	W					

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

This amendment corrects a software-related inconsistency in the date of the report. No data changes.

Part III A., Line 1: Class action settlement check related to hourly wages earned prior to May 1, 2006, plus interest. I did not participate in this case, nor did I request this award.

Part VII, Lines 33, 34, 36, 37, 39-44, and 46-53: These holdings are unit-based rather than direct investments, therefore they do not generate reportable income; reporting is in accordance with the 3rd paragraph on page 40 of the filing instructions.

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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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Washington, D.C. 20544