

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) Howell, Dennis L.	2. Court or Organization USDC, WDNC	3. Date of Report 02/21/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge, full	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 U. S. Courthouse Building 100 Otis Street, Room 302 Asheville, NC 28801		
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.	

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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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
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. IRA # 1 (H)									
2. -AQR Managed Futures Strategy Fund Class I	A	Dividend			Sold	03/21/17	K	F	
3. -DFA 5 Yr. Global Income Fund Class I	A	Dividend			Sold	03/21/17	M	A	
4. -DFA Emerg. Mkts. Value Fund Class I	A	Dividend			Sold	03/21/17	K	A	
5. -DFA Emerg. Mkt. Fund Class I	A	Dividend			Sold	03/21/17	K	A	
6. -DFA Emerg. Mkts. Sm Cap Fund	A	Dividend			Sold	03/21/17	K	B	
7. -DFA Int'l Real Estate Sec. Fund Class I	A	Dividend			Sold	03/21/17	K	A	
8. -DFA Int'l Sm. Cap Value Fund Class I	A	Dividend			Sold	03/21/17	K	B	
9. -DFA Int'l Small Co Fund	A	Dividend			Sold	03/21/17	K	B	
10. -DFA Int'l Value Fund Class I	A	Dividend			Sold	03/21/17	L	A	
11. -DFA US Large Cap Value Fund Class I	A	Dividend			Sold	03/21/17	M	C	
12. -DFA Real Estate Sec. Fund Class I	A	Dividend			Sold	03/21/17	K	A	
13. -DFA US Large Co. Fund Class I	C	Dividend	M	T					
14. -DFA US Micro Cap Fund Class I	A	Dividend			Sold	03/21/17	L	C	
15. -DFA US Sm. Cap Value Fund Class I	A	Dividend			Sold	03/21/17	L	D	
16. -Natixis ASG Managed Future Strategy Fund	A	Dividend			Sold	03/21/17	K	A	
17. -Vanguard Ltd Term T/E Fd (Adm)	A	Dividend			Sold	03/21/17	K	A	

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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18. -Vanguard S/T Invest Grade (Admiral)	A	Dividend			Sold	03/21/17	L	C	
19. -Virtus Multi Sector S-T Bond I	A	Dividend			Sold	03/22/17	M	A	
20. -Vanguard 500 Index (Admiral)	A	Dividend			Sold	03/21/17	J	A	
21. -Vanguard Mkt Neutral Fund Class Inv SHS	A	Dividend			Sold	03/21/17	K	A	
22. -Apollo Invmt Corp	A	Dividend			Sold	10/16/17	K	A	
23. -Cohen & Steers Preferred Sec. & Inc. Fund A	E	Dividend	O	T	Buy	03/23/17	O		
24. -Nuveen Real Asset Income Fund Class C	B	Dividend	K	T	Buy	10/24/17	K		
25. -Yorktown Multiasset Income Fund Class L	D	Dividend	N	T	Buy	03/22/17	N		
26. -UBS Bank US Cash Account		None	J	T					
27. SEP IRA #2 (H)									
28. -DFA 5 yr. Global Income Fund	A	Dividend			Sold	03/21/17	J	A	
29. -DFA Core Emerg. Mkts. Fund	A	Dividend			Sold	03/21/17	K	D	
30. -DFA Int'l Real Estate Fund	A	Dividend			Sold	03/21/17	J	A	
31. -DFA Int'l Core Equity	A	Dividend			Sold	03/21/17	K	D	
32. -DFA Real Estate Sec. Fund	A	Dividend			Sold	03/21/17	J	D	
33. -DFA US Core Equity 2 Fund	B	Dividend	M	T					
34. -VG S/T Invest. Grade (Admiral)	A	Dividend			Sold	03/21/17	K	A	

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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	

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35. -Virtus Multi Sector S-T Bond I	A	Dividend			Sold	03/22/17	J	A	
36. -Natixis ASG Manage Future Strategy Fund	A	Dividend			Sold	03/21/17	J	A	
37. -Vanguard Mkt. Neutral Fund Class Inv. SHS	A	Dividend			Sold	03/21/17	J	A	
38. -AQR Manged Futures Strategy Fund Class I	A	Dividend			Sold	03/21/17	J	A	
39. -Cohen & Steers Preferred Sec. & Inc. Fund A	D	Dividend	M	T	Buy	03/23/17	M		
40. -UBS Bank US Cash Account		None	J	T					
41. IRA #3 (H)	A	Dividend							
42. -S&P 500 Depository	A	Dividend	J	T					
43. -Baron Small Cap Fund	A	Dividend			Sold	03/21/17	J	A	
44. -DFA 5 yr Global Income Fund	A	Dividend			Sold	03/21/17	J	A	
45. -DFA Emerg. Mkt. Value Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
46. -DFA Emerg. Mkts. Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
47. -DFA Emerg. Sm. Cap Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
48. -DFA Int'l Real Estate Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
49. -DFA Int'l Sm. Cap Value Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
50. -DFA Int'l Small Co. Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
51. -DFA Int'l Value Fund Class 1	A	Dividend			Sold	03/21/17	J	A	

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52. -DFA Large Cap Value Fund Class 1	A	Dividend	K	T					
53. -DFA Real Estate Sec. Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
54. -DFA US Large Co. Instl. Class 1	A	Dividend	J	T					
55. -DFA US Micro Cap Fund Class 1	A	Dividend			Sold	03/21/17	J	A	
56. -DFA US Sm. Cap Value Fund Class 1	A	Dividend			Sold	03/21/17	J	B	
57. -Vanguard Pacific Stock Index Fund Investor	A	Dividend			Sold	03/21/17	J	A	
58. -VG European Stock Index Fund Investor	A	Dividend			Sold	03/21/17	J	A	
59. -VG S/T Invest Grade Fund (Admiral)	A	Dividend			Sold	03/21/17	J	A	
60. -Vitrus Multi Sector S-T Bond 1	A	Dividend			Sold	03/21/17	J	A	
61. -AQR Managed Futures Fund 1	A	Dividend			Sold	03/21/17	J	A	
62. -Natixis ASG Managed Strategy Fund Class I	A	Dividend			Sold	03/21/17	J	A	
63. -Vanguard Market Neutral Fund Class Inv.-SHS	A	Dividend			Sold	03/21/17	J	A	
64. -UBS Bank US Cash Account		None	J	T					
65. -Cohen & Steers Preferred Sec. & Inc. Fund A	D	Dividend	M	T	Buy	03/23/17	L		
66. UBS Financial Services Acct 70 (H)									
67. -First Horizon Natl Corp. FHN 2	A	Dividend	K	T					
68. -Blackrock Muniholdings Quality Fund Inc. MUS	D	Dividend	M	T					

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69. -Blackrock Muniyield Quality Fund III, Inc. MYI	C	Dividend	L	T					
70. -Nuveen Quality Muni Fund, Inc. NQI	D	Dividend	M	T					
71. -Blackrock Muniyield Fund, Inc. MYD	C	Dividend	L	T					
72. -ARES MGMT LP PFD Unit Ser A	C	Dividend	L	T					
73. -UBS Bank USA Dep Acct		None	J	T					
74. UBS Financial Services Acct. 68 (Estate #1) (H)									
75. -UBS Bank Dep Acct		None	J	T					
76. -Fidelity Southern Corp.	A	Dividend	J	T					
77. -General Motors	A	Dividend	J	T					
78. -Motors Liq Co GUC TR UBI	A	Dividend	J	T					
79. -Warrants General Motors Corp.		None			Sold	03/21/17	J	A	
80. -FNR 109-109 J	A	Dividend							
81. -FHR 1163 1163 JA	A	Dividend			Sold	03/21/17	J	A	
82. -FHR 1578 K	A	Dividend			Sold	03/21/17	J	A	
83. -Invesco Quality Muni Inc. Trst. Com.	C	Dividend	L	T					
84. -Apollo Invenmt Corp	A	Dividend			Sold	10/16/17	L	A	
85. -BGC Partners Inc.	C	Dividend	L	T					

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86. -Dominion Resources Inc.	C	Dividend	L	T					
87. -Ing Group N V	A	Dividend			Sold	03/15/17	K	A	
88. -Qwest Corp	C	Dividend	K	T					
89. -Nuveen High Yield Municipal Bond Fund Class C	B	Dividend	L	T	Buy	10/24/17	L		
90. -Yorktown Multiasset Income Fund Class L	B	Dividend	K	T	Buy	03/21/17	K		
91. UBS Financial Services Acct. 19BH Estate #2 (H)									
92. -UBS Bank USA Deposit Acct		None	J	T					
93. -Nuveen Amt-Free Municipal Credit Income Fund	C	Dividend	L	T					
94. -Apollo Investment Corp.	A	Dividend			Sold	10/16/17	K	A	
95. -Ares Mgmt L P PFD Unit Ser A	B	Dividend	K	T					
96. -Associated Banc Preferred	B	Dividend	K	T					
97. -Nuveen High Yield Municipal Bond Fund Class C	B	Dividend	K	T	Buy	10/24/17	K		
98. UBS Financial Services H H IRA Estate #3 (H)									
99. -FNR 1992-195C	A	Dividend	J	T					
100. -FHR 1578K	A	Dividend	J	T					
101. -FNR-1994-G6	A	Dividend	J	T					
102. -Legg Mason Inc Bond	B	Dividend	K	T					

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103. -UBS Bank Deposit x		None	J	T					
104. UBS Financial Services Acct 16 (H)									
105. -Blackrock Muniyield Fund Inc.	B	Dividend	K	T					
106. -UBS Bank Deposit x	A	Interest	J	T					
107. American Balance Fund-529 A Fund #1011 CLBX-Balanced Track	A	Int./Div.	J	T					
108. American Balance Fund-529 A Fund #1011 CLBX-Balanced Track	A	Int./Div.	J	T					
109. First Citizens Investors Services (H)									
110. -University NC Charlotte Rev	A	Dividend			Redeemed	04/03/17	K		
111. -NC Med Care Comm Health Care Facs R Ed NC Med Care	B	Dividend	K	T					
112. -NC Med Care Comm Health Care Facs R Ed Wake Med	A	Dividend	K	T					
113. -Harnett County NC Ltd Oblig RFDG	B	Dividend	K	T					
114. -Monroe NC Ltd Oblig R DG	B	Dividend	K	T					
115. -NC Med Care Comm Health Care-Wake Forest	A	Dividend	K	T	Buy	04/20/17	K		
116. Wells Fargo Cash Account	A	Interest	M	T					
117. Rental Property #1 Burnsville, NC \$169,720.00	D	Rent	M	S					
118. Rental Property #2 Burnsville, NC \$244,750.00		None	M	S					
119. Rental Property #3 Burnsville, NC \$20,662.50		None	K	S					

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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Name of Person Reporting

Howell, Dennis L.

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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)
120. Rental Property #4 Burnsville, NC \$341,400.00		None	N	S					
121. Spruce Pine, Mitchell County, NC #2 12/28/2015		None	N	Q					
122. Spruce Pine, Mitchell County, NC #3 01/07/2016		None	K	Q					
123. Arbuckle, Yancey County, NC #1 11/03/2015		None	M	Q					
124. Southern Farm Bureau Life Insurance Whole Life	A	Interest	K	T					
125. Dennis L. Howell, PA		None	J	W					
126.									
127.									
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Howell, Dennis L.

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02/21/2019

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)
137.									

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.)*

VII Investments and Trusts

#106 and #107--each of these two funds are for the college education of my grandchildren. I can select only the general investment strategy of these plans and I have chosen the balance track. I do not own, nor can I select, the specific stocks, bonds or other assets. These items were listed in the 2016 Report as (#127) and (#128)

The Reporter mistakenly left out First Horizon Financial Corp. FHN from the Financial Report filed on July 2nd, 2018. This item has now been included and the items have been renumbered to correct the error. This item was included in the Final Report filed on October 24th 2018 as line item #23. It is line item #76 on the 2016 report.

#72-UBS Bank USA Dep Acct is reported in the Final Report of October 24th 2018 as line item #24.

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Howell, Dennis L.

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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/ **Dennis L. Howell**

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