

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Royal, Charles A.	2. Court or Organization U.S. Middle District - Georgia	3. Date of Report 04/29/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U. S. Courthouse 475 Mulberry Street Macon, GA 31202		
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.	Executor	Estate #1
2.	Executor	Estate #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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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. 2015	West Services, Inc. (Book royalties)	\$4,155.15
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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. Northwestern Mutual Life (Whole Life policy)	A	Dividend	L	T					
2. Federated Prime Money Market/Obligation Fund	A	Interest	N	T					
3. MetaMorphix, Inc.		None	J	T					
4. Polywad, Inc.		None	J	T					
5. SunTrust Account #3		None	J	T					
6. SunTrust Account #4		None	L	T					
7. Estate #1		None	J	T					
8. IShares, Inc. - MSCI Brazil	A	Dividend	J	T					
9. IShares Inc MSCI Singapore	A	Dividend	J	T					
10. IShares Inc MSCI Sweden	B	Dividend	K	T					
11. TICC Capital Corp	A	Dividend	J	T					
12. Legacy RESVS	B	Dividend	J	T					
13. AT & T Inc	C	Dividend	L	T					
14. Centurylink Inc	B	Dividend	K	T					
15. Verizon Communications	D	Dividend	K	T					
16. Northwestern Corp	B	Dividend	L	T					
17. Pioneer Natural Resources	A	Dividend	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 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

Page 5 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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)

18. Southern Company	B	Dividend	K	T					
19. Brookfield Infrastructure Partners	B	Dividend	K	T					
20. Apollo Invst. Corp.	A	Dividend	J	T					
21. Conagra Foods, Inc.	A	Dividend	K	T					
22. Total SA Spons Adr	B	Dividend	L	T	Buy (add'l)	10/30/15	J		
23. Estate #2		None	J	T					
24. Consolidated Edison, Inc.	C	Dividend	L	T					
25. Baron Small Cap Fund	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
26. Credit Suisse Comm Ret Strat	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
27. Edgewood Gwth Fd Instl Cl	A	Int./Div.	K	T	Buy (add'l)	05/18/15	J		
28. Delaware Small Cap Value	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
29. Hartford Growth Opportunities	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
30. Invesco Charter		None			Sold	05/11/15	J	A	
31. Principal Midcap Fund Cl P	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
32. Franklin Mutual Shares Cl Z	A	Int./Div.	J	T					
33. Investment Co of America	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
34. Morgan Stanley Institutional Glob Real Est (MSIF)	A	Int./Div.	J	T	Buy (add'l)	05/18/15	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 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

Page 6 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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)

35. Oppenheimer Rising Dividend		None			Sold	05/11/15	J	A	
36. T. Rowe Price Equity Income		None			Sold	05/11/15	J	A	
37. Dodge & Cox International	A	Int./Div.	J	T	Buy (add'l)	05/18/15	K		
38. International Growth & Income (AFS)	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
39. MFS International Equity	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
40. New World Fund	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
41. Scout International Fund	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
42. Bridge Builder Core Bond Fund	A	Int./Div.	K	T	Buy (add'l)	05/18/15	K		
43. Bridge Builder Large Growth	A	Dividend	J	T	Buy	05/18/15	J		
44. Bridge Builder Large Value	A	Dividend	K	T	Buy	05/18/15	K		
45. Capital World Bond	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
46. Bridge Builder Int'l. Equity	A	Dividend	J	T	Buy	07/21/15	J		
47. Metropolitan West Ttl Ret Bd	A	Int./Div.	J	T	Buy (add'l)	05/18/15	K		
48. PIMCO Total Return IV	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
49. Prudential High Yield Fund Z	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
50. Templeton Global Bond	A	Int./Div.	J	T	Buy (add'l)	05/18/15	J		
51. JP Morgan Fed Money Mkt	A	Int./Div.	J	T	Buy (add'l)	05/18/15	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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)

52. Eastern MI Univ Build Amer Bds	A	Interest	K	T					
53. Charleston Cnty SC Hosp Roper	A	Interest	K	T					
54. VA St Hsg Dev Auth ComWith Mtg	A	Interest	J	T					
55. SC Jobs Economic Dev Auth Hosp	A	Interest	K	T					
56. In Mun Pwr Agy Pwr Supply Sys	A	Interest	J	T					
57. American Balanced Fund CLA	C	Dividend	L	T					
58. Amern High Incm Muni Bd Fd A	B	Dividend	L	T					
59. Capital Income Builder Fund CLA	C	Dividend	L	T					
60. Capital World Grw & Inc Fund A	C	Dividend	M	T					
61. Eaton Vance SC Mun Incm Fd C	A	Dividend	J	T					
62. Europacific Growth Fund CLA	A	Dividend	J	T					
63. Franklin Adj US Govt Secs Fd A	A	Dividend	J	T					
64. Franklin Equity Income Fund A	A	Dividend	J	T					
65. Franklin Founding Fd Alloc A	A	Dividend	K	T					
66. Franklin Growth Series Class A	A	Dividend	J	T					
67. Franklin Income Fund CLA	A	Dividend	J	T					
68. Franklin Mut Gbl Dscv Fd CLA	A	Dividend	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 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

Page 8 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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)
69. Franklin Mutual Shares Fund A	A	Dividend	J	T	Buy (add'l)	05/18/15	J		
70. Franklin Small Cap Value Fd A	A	Dividend	J	T					
71. Franklin Total Return Fund A	A	Dividend	K	T					
72. Franklin US Government Secs A	A	Dividend	J	T					
73. Growth Fund of America CLA	C	Dividend	K	T					
74. Hartford Balanced Fund CLA	A	Dividend	K	T					
75. Hartford Cap Appreciation CLA	B	Dividend	K	T					
76. Hartford Disciplined Equity A	A	Dividend	J	T					
77. Hartford Dividend & Growth A	C	Dividend	K	T					
78. Hartford Gbl Cap Apprec Fd A	A	Dividend	J	T					
79. Hartford Healthcare Fund CLA	B	Dividend	K	T					
80. Hartford Midcap Fund CLA	B	Dividend	K	T					
81. Hartford Value Oppty Fd CLA	A	Dividend	K	T					
82. Income Fund of America Fund A	B	Dividend	L	T					
83. Invesco Global Growth Fd CLA	A	Dividend	J	T					
84. Invesco Technology Fund CLA	A	Dividend	J	T					
85. Investment Co of America Fd A	C	Dividend	K	T	Buy (add'l)	05/18/15	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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)

86. New Perspective Fund CLA	C	Dividend	L	T					
87. New World Fund CLA	A	Dividend	K	T					
88. Templeton Growth Fund	A	Dividend	J	T					
89. Washington Mutual Invest Fd	B	Dividend	L	T					
90. Seadrill Limited	A	Dividend	J	T	Buy	01/23/15	J		
91. Nvidia Corp.	A	Dividend	J	T	Buy	10/02/15	K		
92.									
93.									

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

Page 10 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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

I. POSITIONS

Estate #1 - I have no beneficial interest in the estate. There are no assets owned by the estate. There have been no acquisitions, dispositions or capital gains. This response includes now and at all times during the reporting period.

Estate #2 - I have no beneficial interest in the estate. There are no assets owned by the estate. There have been no acquisitions, dispositions or capital gains. This response includes now and at all times during the reporting period.

VII. INVESTMENTS and TRUSTS

SunTrust Retirement Fund was renamed to Federated Prime Obligation Fund/Money Market. Both accounts were listed separately in error on the 2014 report.

Annaly Capital Mgmt Inc. was inadvertently listed twice on the 2014 report and was sold on 8/7/2014.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Royal, Charles A.

Date of Report

04/29/2016

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/ Charles A. Royal

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