

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) CAYER, DAVID S.	2. Court or Organization DISTRICT COURT - WDNC	3. Date of Report 06/23/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address RM. 168 401 W. TRADE ST. CHARLOTTE, NC 28202		
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.	2013	N.C. CONSOLIDATED JUDICIAL RETIRMENT SYSTEM, 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. 2013	CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT	\$66,150.00
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. 2013	NOVANT HEALTH CORPORATE PRESBYTERIAN MEDICAL GROUP - SALARY
2. 2013	NEAL S TAUB MD PA - SALARY
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.		
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. ETR:FME	A	Dividend	K	T					
2. NYSE:VZ	B	Dividend	K	T					
3. NYSE:SEE	A	Dividend	J	T					
4. NYSE:XOM	A	Dividend	J	T					
5. NYSE:WMT	A	Dividend	J	T					
6. FIFTH THIRD	A	Interest	K	T					
7. TRUST #1	C	Int./Div.	M	T					
8. -WELLS FARGO DEPOST ACCT									
9. -NUVEEN HIGH YIELD MUNI BOND					Sold (part)	02/08/13	J	A	
10.					Buy (add'l)	07/15/13	J		
11.					Buy (add'l)	10/15/13	J		
12. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND					Sold (part)	02/08/13	J	A	
13.					Sold (part)	07/11/13	J		
14.					Buy (add'l)	10/15/13	J		
15. -NUVEEN NC MUNI BOND					Sold (part)	02/08/13	J		
16.					Sold (part)	07/11/13	J		
17.					Buy (add'l)	10/15/13	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	

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☐ 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. -RIDGEWORTH SEIX HIGH YIELD BOND FUND					Sold (part)	02/08/13	J	A	
19.					Buy (add'l)	07/15/13	J		
20.					Buy (add'l)	10/15/13	J		
21. -DREYFUS EMERGING MARKETS DEBT LOCAL CURRENCY					Sold (part)	02/08/13	J	A	
22.					Buy (add'l)	07/15/13	J		
23.					Sold (part)	10/11/13	J		
24. -FIDELITY ADVISORS EMERGING MARKETS					Buy	10/15/13	J		
25. -LAUDUS MONDRAIN INT'L FIXED INCOME FUND					Sold (part)	02/08/13	J	A	
26.					Sold (part)	07/11/13	J		
27. -PIMCO FOREIGN BOND FUND					Sold (part)	02/08/13	J	A	
28.					Sold (part)	07/11/13	J		
29. -ARTISAN MID CAP FUND CLASS INS.					Buy (add'l)	02/12/13	J		
30.					Sold (part)	04/11/13	J	A	
31.					Sold (part)	07/11/13	J	A	
32.					Sold (part)	10/10/13	J	A	
33. -DIAMOND HILL LONG-SHORT FUND CLASS I					Sold (part)	04/11/13	J	A	
34.					Sold (part)	07/11/13	J	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	
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35. -HARBOR CAPITAL APPRECIATION FUND					Buy (add'l)	02/12/13	J		
36.					Sold (part)	04/11/13	J	A	
37.					Sold (part)	07/11/13	J	A	
38. -ISHARES CORE S&P 500 INDEX ETF					Sold (part)	02/12/13	J	A	
39.					Sold (part)	04/15/13	J	A	
40.					Sold (part)	07/15/13	J	A	
41. -ISHARES RUSSELL 2000 GROWTH INDEX FUND					Sold	02/12/13	J	A	
42. -JP MORGAN MID CAP VALUE FUND-CLASS I					Buy (add'l)	02/12/13	J		
43.					Sold (part)	04/11/13	J	A	
44.					Sold (part)	07/11/13	J	A	
45. -KALMAR "GROWTH WITH VALUE" SMALL CAP CLASS					Buy	02/12/13	J		
46. -KEELEY SMALL CAP VALUE FUND CLASS					Sold (part)	02/08/13	J	A	
47.					Sold (part)	04/11/13	J	A	
48.					Buy (add'l)	07/15/13	J		
49. -MFS VALUE FUND-CLASS I					Buy (add'l)	02/12/13	J		
50.					Sold (part)	04/11/13	J	A	
51.					Sold (part)	07/11/13	J	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	
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52.					Buy (add'l)	10/15/13	J		
53. -ARTISAN INT'L FUND					Sold (part)	02/08/13	J	A	
54.					Sold (part)	04/11/13	J	A	
55.					Sold (part)	07/11/13	J	A	
56. -DODGE & COX INT'L STOCK					Sold (part)	02/08/13	J	A	
57.					Sold (part)	07/11/13	J	A	
58.					Sold (part)	10/10/13	J	A	
59. -OPPENHEIMER DEVELOPING MKT					Buy (add'l)	02/12/13	J		
60.					Buy (add'l)	07/15/13	J		
61.					Sold (part)	10/10/13	J	A	
62. -VANGUARD EMERGING MARKETS					Buy (add'l)	02/12/13	J		
63.					Buy (add'l)	07/15/13	J		
64.					Sold (part)	10/15/13	J		
65. -GATEWAY FUND					Buy (add'l)	02/12/13	J		
66.					Sold	07/11/13	J	A	
67. -HUSSMAN STRATEGIC GROWTH FUND					Sold	02/08/13	J		
68. -AQR MANAGED FUTURES STRATEGY FUND					Buy	07/15/13	J		

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69.					Sold (part)	10/10/13	J		
70. -ASG GLOBAL ALTERNATIVES FUND CLASS					Buy	07/15/13	J		
71.					Buy (add'l)	10/15/13	J		
72. -DRIEHAUS ACTIVE INCOME FUND					Buy	07/15/13	J		
73.					Buy (add'l)	10/15/13	J		
74. -MERGER FD SH BEN INT					Buy (add'l)	02/12/13	J		
75.					Sold (part)	07/11/13	J	A	
76. -ROBECO BOSTON PARTNERS LONG/ SHORT					Buy	07/15/13	J		
77.					Buy (add'l)	10/15/13	J		
78. -CREDIT SUISSE COMMODITY RETURN					Buy (add'l)	02/12/13	J		
79.					Buy (add'l)	07/15/13	J		
80.					Sold (part)	09/26/13	J		
81. -IPATH DOW JONES - UBS COMMODITY INDEX					Buy	09/30/13	J		
82. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE					Sold (part)	04/15/13	J	A	
83.					Buy (add'l)	07/15/13	J		
84. -VANGUARD REIT VIPER					Sold (part)	04/15/13	J	A	
85.					Buy (add'l)	07/15/13	J		

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86.					Buy (add'l)	10/15/13	J		
87. IRA #1	B	Int./Div.	K	T					
88. -AMER BALANCED FD									
89. -INVESTMENT CO. AMERICA									
90.									

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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/ DAVID S. CAYER

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