

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) Biggs, Loretta C.	2. Court or Organization U. S. District Court - Middle District of North Carolina	3. Date of Report 08/10/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court 251 North Main Street 2nd Floor 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 North Carolina 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	\$29,029.00
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.	
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.	Roundtree Mortgage	Mortgage (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. Fidelity Treasury MMKT FD Daily Money		None			Sold	06/28/16	J		
3. Spartan Intl Index FID Adv Class	A	Dividend			Sold	06/23/16	J	A	
4. Spartan Small Cap Index Investor CL	A	Dividend			Sold	06/13/16	J	A	
5. Spartan 500 Index FD Advantage Class	A	Dividend			Sold	06/13/16	J	B	
6. PMC Diversified Equity Fund	A	Dividend			Sold	06/27/16	J	B	
7. Deutsche Managed Muni Bond FD S	A	Dividend			Sold	06/23/16	J		
8. Deutsche Intermediat Tax/AMT Free FD S	A	Dividend			Sold	06/23/16	J	A	
9. Wells Fargo Short Term Muni BD-A	A	Dividend			Sold	06/27/16	J		
10. American Cen Inter Term Tax-Free BD Inv	A	Dividend			Sold	06/23/16	J		
11. American Balanced Classic C*	B	Dividend	K	T	Buy	07/07/16	K		
12. Prudential Variable Appreciable Life Insurance Policy									
13. -PSF Equity		None	K	T					
14. Wells Fargo Bank "Account" A	A	Interest	J	T					
15. State Employees Credit Union "Account" A	A	Interest	J	T					
16. First Tennessee "Account" A	A	Interest	J	T					
17. First Tennessee IRA									

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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18. -First Tennessee Bank Deposit Account	A	Int./Div.	J	T					
19. -DFA Dimensional 1 Year Fixed Income	B	Int./Div.	K	T					
20. -DFA Five Year Global Fixed Inc	B	Int./Div.	K	T					
21. -DFA Short Term Government Port	B	Int./Div.	K	T					
22. -DFA 2-Yr Gbl Fixed Inc Port	B	Int./Div.	K	T					
23. -DFA Emerging Markets Sml Cap	A	Int./Div.	J	T					
24. -DFA Emerging Markets Value	A	Int./Div.	J	T					
25. -DFA Emerging Markets Portfolio	A	Int./Div.	J	T					
26. -DFA Int Val Port	B	Int./Div.	K	T					
27. -DFA International Small Co	A	Int./Div.	J	T					
28. -DFA Intl Small Cap Value Portfolio	A	Int./Div.	J	T					
29. -DFA Real Estate Secs Port	A	Int./Div.	K	T					
30. -DFA US Core Equity 2 Port	B	Int./Div.	K	T					
31. -DFA US/LC Value Portfolio	B	Int./Div.	L	T					
32. -U.S. Vector Equity Portfolio	C	Int./Div.	L	T					
33. Rental Property #1 Winston-Salem, NC Appraisal Date 10/17/2014**	D	Rent	M	Q					
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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

SECTION VII. INVESTMENTS and TRUSTS:

*Item #11 American Balanced Classic C replaced the assets (item #s 2-10) which were sold in June 2016.

**Item #31 Rental Property #1 was appraised on October 17, 2014 and closed on November 20, 2014.

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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
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