

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) Keesler, David C.	2. Court or Organization N Carolina - District Court	3. Date of Report 09/29/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 401 West Trade Street Room 168 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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Keesler, David C.

Date of Report

09/29/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

K. Interiors-Salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Keesler, David C.

Date of Report

09/29/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Keesler, David C.

Date of Report

09/29/2017

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. WELLS FARGO COMMON STOCK	A	Dividend	K	T					
2. IRA #1 (H)									
3. -DEUTSCHE SECS TR ENHANCED COMMODITY STRAT SKIRX	A	Dividend	J	T	Sold (part)	08/24/16	J		
4. -DEUTSCHE SECS TR GLOBAL REAL ESTATE RRGTX	A	Dividend	J	T	Sold (part)	08/24/16	J		
5. -BLACKROCK FDS II CORE BOND PORT INSTL CLASS BFCMX	A	Dividend	J	T	Sold (part)	08/24/16	J		
6. -FUNDVANTAGE TR GOTHAM ABSOLUTE RETURN GARIX	A	Dividend	J	T	Sold (part)	08/24/16	J		
7. -DELAWARE GROUP DEUIX	A	Dividend	J	T	Buy (add'l)	08/24/16	J		
8. -EATON VANCE MUTUAL FDS TR GLOBAL MARCO ABSLT EGRIX	A	Dividend	J	T	Sold (part)	08/24/16	J		
9. -RS INVT TR SMALL CAP GROWTH FD CL Y RSYEX	A	Dividend			Sold	08/24/16	J		
10. -GABELLI EQUITY SER FD SML CAP GROWTH FUND GACIX	A	Dividend	J	T	Buy (add'l)	08/24/16	J		
11. -GOLDMAN SACHS TR FTIXX	A	Dividend	J	T					
12. -HOTCHKIS & WILEY HWMIX	A	Dividend			Sold	08/24/16	J		
13. -HARTIFORD MUTL FDS INC MIDCAP FUND CL 1 HFMIX	A	Dividend	J	T	Buy	08/24/16	J		
14. -JOHN HANCOCK JCUIX	A	Dividend	J	T					
15. -LAZARD FDS INC EQUITY PORT INSTL SHS LZIEIX	A	Dividend	K	T	Buy (add'l)	08/24/16	J		
16. -MERIDIAN FD INC SMALL CAP GROWTH FD MISGX	A	Dividend	J	T	Buy	08/24/16	J		
17. -JP MORGAN TR 1 JLPSEX	A	Dividend	J	T	Sold (part)	08/24/16	J		

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	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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	(1) Amount Code I (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. -PRINCIPAL FS INC GLOBAL MULTI STRATEGY FD INSTL CL PSMIX	A	Dividend	J	T	Buy	08/24/16	J		
19. -OPPENHEIMER DEV ODVYX	A	Dividend	J	T					
20. -PIMCO FDS PAC INVT MGMT SER EMERGING PEBIX	A	Dividend	J	T	Buy	08/24/16	J		
21. -PRINCIPAL FDS INC PHYTX	A	Dividend	J	T	Sold (part)	08/24/16	J		
22. -T ROWE PRICE TRREX	A	Dividend	J	T					
23. -TCW DIVERSIFIED VALUE TGDIX	A	Dividend	K	T					
24. -NATIX FDS TR II ASFYX	A	Dividend			Buy	08/24/16	J		
25. -VIRTUS EMERGING MARKETS OPPORTUNITIES FND CL I HIEMX	A	Dividend	J	T					
26. -NATIXIS FDS TR II GAFYX	A	Dividend			Sold	08/24/16	J		
27. -WELLS FARGO FUNDS TR SPECIAL MID CAP VALUE FD CL I WFMIX	A	Dividend	J	T	Buy	08/24/16	J		
28. -METLIFE INVS USA C SHAR VARIABLE ANNUITY	A	Dividend	L	T					
29. IRA # 2 (H)									
30. -WELLS FARGO BANK DEPOSIT SWEEP ACCOUNT	A	Dividend	K	T					
31. -CHEVRON CORPORATION CVX	A	Dividend			Sold	04/13/16	J		
32. -DISNEY WALT COMPANY DIS	A	Dividend	J	T					
33. -EXXON MOBIL CORP XOM	A	Dividend	J	T					
34. -JOHNSON & JOHNSON JNJ	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	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

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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)

35. -PROCTER & GAMBLE CO PG	A	Dividend			Sold	10/17/16	J		
36. -DODGE & COX INTL STOCK FUND DODFX	A	Dividend	J	T	Sold (part)	01/05/16	J		
37.					Sold (part)	04/15/16	J		
38. -T ROWE PRICE MID CAP GROWTH FUND RPMGX			J	T	Sold (part)	04/13/16	J		
39.					Sold (part)	08/02/16	J		
40. -VANGUARD/WINDSOR FUND VWNAX	A	Dividend	J	T	Sold (part)	04/14/16	J		
41.					Sold (part)	08/02/16	J		
42. IRA #3 (H)									
43. -COLUMBIA ACORN FUND CLASS C LIACX	A	Dividend	J	T					
44. 529 PLAN #1 (H)									
45. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	K	T	Distributed (part)	06/26/16	J		
46. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T	Distributed (part)	06/23/16	J		
47. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T	Distributed (part)	06/23/16	J		
48. THE INCOME FUND OF AMERICA 529 CL C CIMCX	A	Dividend	J	T	Distributed (part)	06/23/16	J		
49. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T	Distributed (part)	06/23/16	J		
50. AMERICAN FUNDS COLLEGE 2021 FUND 529C CTOCX	A	Dividend	K	T	Distributed (part)	05/23/16	J		
51. 529 PLAN #2 (H)									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. THE GROWTH FUND OF AMERICA 529 C CGFCX	A	Dividend	J	T					
53. CAPITAL WORLD GROWTH AND INCOME 529 C CWICX	A	Dividend	J	T					
54. WASHINGTON MUTUAL INVESTORS FUND 529 C CWMCX	A	Dividend	J	T					
55. THE INCOME FUND OF AMERICA 529 C CIMCX	A	Dividend	J	T					
56. INTERMEDIATE BOND FUND OF AMERICA 529 C CBOCX	A	Dividend	J	T					
57. BROKERAGE ACCOUNT #2	A	Dividend	J	T					
58. AMER BALANCED FD INC BALFX	A	Dividend	J	T					
59. IRA #4 (H)									
60. -AMG FUNDS TIMESQUARE MID CAP TMDPX	A	Dividend	J	T					
61. -AIM GLOBAL REAL ESTATE ARGYX	A	Dividend	J	T					
62. -DEUTSCHE SECS TR ENHANCED COMMODITY STRAT SKIRX	A	Dividend	J	T					
63. -BLAIR WILLIAM FDS INTL GROWTH BIGIX	A	Dividend	J	T					
64. -CAMBIAR OPPORTUNITY FD CAMWX	A	Dividend			Sold	09/02/16	J		
65. -DELAWARE GROUP EQUITY FD 11-VALUE FD DDVIX	A	Dividend	J	T					
66. -EATON VANCE SER II INCOME FUND INSTL CL EIBIX	A	Dividend	J	T	Buy	09/02/16	J		
67. -FIRST EAGLE FUNDS SOGEN OVERSEAS FUND CLI SGOIX	A	Dividend	J	T					
68. -GOLDMAN SACHS TR FTIXX	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
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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

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Keesler, David C.

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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)
69. -HANCOCK JOHN CAP SER CLASSIC VALUE CL I JCVIX	A	Dividend	J	T					
70. -HARBOR INTERNATIONAL INSTL CL HAINX	A	Dividend	J	T	Sold (part)	09/02/16	J		
71. -EAGLE SMALL GAP GROWTH FUND CLASS I HSHX	A	Dividend	J	T					
72. -HOTCHKIS & WILEY FDS MID CAP HWMIX	A	Dividend	J	T					
73. -AMERICAN FUNDS WASHINGTON MUTUAL FD F2 WMFFX	A	Dividend	J	T					
74. -LAZARD FDS INC LZEMX	A	Dividend	J	T	Sold (part)	09/02/16	J		
75. -MFS SER TR X EMERGING MKTS DEBT FD CLASS I MEDIX	A	Dividend	J	T	Buy	09/02/16	J		
76. -MAINSTAY LARGE CAP GROWTH FD CLASS I MLAIX	A	Dividend	J	T					
77. -WELLS FARGO FDS TR SMALL WEMIX	A	Dividend	J	T					
78. -OPPENHEIMER DEV MKTS ODVYX	A	Dividend	J	T					
79. -VICTORY PORTFOLIOS SMALL CO OPPTY FD VSOIX	A	Dividend	J	T					
80. -VOYA SER FD INC LARGE CAP GROWTH FD CL I PLCIX	A	Dividend	J	T					
81. -WELLS FARGO FDS TR CORE BOND FUND CLASS INST MBFIX	A	Dividend	J	T	Buy	09/02/16	J		
82. IRA # 5 (H)									
83. -DAVIS NEW YORK VENTURE FUND INC CL C NYVCX	A	Dividend	J	T					
84. BANK OF AMERICA (REGULAR SAVINGS, INTEREST CHKG)	A	Interest	J	T					
85. IRA # 6 (H)									

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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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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86. -FRANKLIN SMALL MID CAP GROWTHCL C FRSEX	A	Dividend	J	T	Buy	11/06/16	J		
87. SOUTH STATE COMMON STOCK (X)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

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Date of Report

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

Line 25 - Previously reported on line 39 of 2015 report.

Line 41 - Ticker symbol incorrectly reported as VWFAX on 2015 FDR. Ticker symbol is VWNAX.

Line 88 - Exceeds the required reporting limit.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

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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 C. Keesler

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