

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) Gates, James E.	2. Court or Organization N.C.--Eastern District	3. Date of Report 05/14/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address Terry Sanford Federal Building and Courthouse 310 New Bern Avenue Raleigh, NC 27601		
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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Name of Person Reporting

Gates, James E.

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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.)*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. 2015

North Raleigh United Methodist Church--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. _____

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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.

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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 Account (H)									
2. --UBS Bank Account	A	Interest	L	T					
3. --Fundamental Investors (American Funds)	D	Dividend	M	T					
4. --Growth Fund of America (American Funds)	D	Dividend	M	T					
5. --Investment Co. of America (American Funds)	D	Dividend	L	T					
6. --New Economy Fund (American Funds)	D	Dividend	M	T					
7. --New Perspective Fund (American Funds)	C	Dividend	L	T					
8. --Small Cap World Fund (American Funds)	B	Dividend	K	T					
9. --Washington Mutual Investors Fund (American Funds)	D	Dividend	L	T					
10. --I Shares S&P Small Cap 600 Value Index Fund	A	Dividend	K	T					
11. --I Shares S&P Small Cap 600 Growth Index Fund	A	Dividend	K	T					
12. --I Shares S&P Mid Cap 400 Value Index Fund	A	Dividend	K	T					
13. --I Shares S&P Mid Cap 400 Growth Index Fund	A	Dividend	L	T					
14. --U.S. Treasury (I bonds, notes)	A	Interest	J	T	Sold (part)	01/06/15	J	C	
15.					Sold (part)	01/06/15	J	C	
16. --Oppenheimer International Bond Fund	C	Dividend	J	T					
17. --Franklin Templeton Global Bond Fund	B	Dividend	K	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 H ~\$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.)

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18. --Delaware Limited Term Bond Fund	B	Dividend	M	T					
19. --RS Low Duration Bond Fund	B	Dividend	M	T					
20. --Euro Pacific Growth Fund (American Funds)	A	Dividend	K	T					
21. Brokerage Account (H)									
22. --Vanguard 500 Index Fund	A	Dividend	K	T					
23. --Vanguard Small Cap Index Fund	A	Dividend	K	T					
24. --Vanguard Mid Cap Index Fund	A	Dividend	K	T					
25. TRUST (H)									
26. --WELLS FARGO ADVISORS CASH AND SWEEP ACCOUNT(X)	A	Dividend	P1	T					
27. --ISHARES ETFD FLOATING RATE BOND (X)	A	Dividend			Sold	12/30/15	L		
28. --ISHARES ETF NATIONAL AMT-FREE MUNI BOND (X)	A	Dividend			Sold	12/30/15	M		
29. --MFS MUN SER TR NC MUN BD FD CL A (X)					Sold	12/30/15	M		
30. --MARKET VECTORS ETF INTERMEDIATE MUNI INDEX (X)					Sold	12/30/15	M		
31. --SPDR S&P 500 TRUST ETF (X)					Sold	12/30/15	J		
32. --SPDR SER TR ETF S&P 600 SMALL CAP ETF (X)					Sold	12/30/15	J		
33. --SPDR S&P MIDCAP 400 ETF TRUST SERIES N (X)					Sold	12/30/15	K		
34. --SPDR NUVEEN BARCLAYS ETF SHORT TERM MUNI BD (X)					Sold	12/30/15	K		

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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35. --ANDERSON SC WTR & SWR SYS REV RFDG B/E AGM (X)					Sold	12/30/15	K		
36. --BEAUFORT CNTY NC RFDG SCH G/O UNLTD B/E (X)					Sold	12/30/15	L		
37. --BUNCOMBE CNTY NC CTF PARTN SER A REV B/E (X)					Sold	12/30/15	L		
38. --BUNCOMBE CNTY NC MET SWR DIST SEW SYS REV B/E (X)					Sold	12/30/15	L		
39. --BUNCOMBE CNTY NC LTD OBLG SER A REV B/E (X)					Sold	12/30/15	K		
40. --BRUNSWICK CNTY NC RFDG G/O B/E OID (X)					Sold	12/30/15	K		
41. --CATAWBA CNTY NC LTD OBLIG G/O B/E (X)					Sold	12/30/15	K		
42. --CHARLOTTE NC ARPT REV REF CHARLOTTE DOUGLAS INLT A B/E (X) OID AMBAC					Sold	12/30/15	K		
43. --CHARLOTTE NC CTF PARTN RFDG TRAN P JS SER C REV B/E (X)					Sold	12/30/15	L		
44. --CHARLOTTE NC W&S SYS REV SERV B B/E (X)					Sold	12/30/15	K		
45. --CHARLOTTE MECKLENBURG HSP AUTH NC HC SYS REV CARLNAS HC SYS SR A (X)					Sold	12/30/15	K		
46. --DURHAM CNTY NC PUB IMP G/O UNLTD B/E (X)					Sold	12/30/15	K		
47. --EAST CAROLINA UNIV NC UNIV REV GEN SER A B/E (X)					Sold	12/30/15	K		
48. --GREENSBORO NC RFDG G/O UNLTD B/E (X)					Sold	12/30/15	K		
49. --HOUSTON TX ARPT SYS REV RFDG SR LIEN SER 2009A B/E (X)					Sold	12/30/15	K		
50. --NORTH CAROLINA MUN PWR AGY 1 CATAWBA ELEC REV RFDG SER B B/E					Sold	12/30/15	L		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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51. --NORTH CAROLINA ST LTD OBLIG RFDG SER B REV B/E (X)					Sold	12/30/15	L		
52. --NORTH CAR MED CARE COMMN HOSP REV (X) RFDG MOSES CONE HLTH A B/E (X)					Sold	12/30/15	K		
53. --NORTH CAROLINA EASTN MUN PWR AGY PWR SYS REV RFDG SER A B/E (X)					Sold	12/30/15	K		
54. --NORTH CAROLINA MUN PWR AGY NO 1 CATAWBA ELEC REV RFDG SER A B/E (X)					Sold	12/30/15	K		
55. --NEW HANOVER CNTY NC HSP REV REGL MEDIAL CENTER A CONV B/E AGM (X)					Sold	12/30/15	K		
56. --ONslow CNTY NC LTD OBLIG SER A REV B/E (X)					Sold	12/30/15	K		
57. --NORTH CAR INFRAS FIN CORP CTFs PARTN REV ST REPAIR-SER B AMBAC (X)					Sold	12/30/15	K		
58. --RICHMOND CNTY NC LTD OBLIG RFDG REV B/E (X)					Sold	12/30/15	K		
59. --VA ST HSG DEV AUTH CwLTH MTG SUBSER C 3 REMKT 2/28/13 REV B/E (X)					Sold	12/30/15	L		
60. --WATAUGA PUB FACS CORP NC LTD OBLIG RFDG SER A REV B/E (X)					Sold	12/30/15	L		
61. --WINSTON SALEM NC LTD OBLIG UNREFUNDED BALANCE RFDG SER A REV B/E (X)					Sold	12/30/15	K		
62. --WINSTON SALEM NC LTD OBLIG PRERERUNDED RFDG SER A REV B/E ETM (X)					Sold	12/30/15	J		
63. IRA ACCOUNT IN TRUST (H)			N	T					
64. --WELLS FARGO ADVISORS CASH AND SWEEP ACCOUNT (X)			J	T					
65. --DEUTSCHE SECS TR GLOBAL REAL ESTATE SECS FD INSTL CLASS (X)	A	Dividend	J	T					

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66. --EATON VANCE SER II INCOME FUND BOSTON CL 1 (X)			J	T					
67. --ADVISORS INNER CIRCLE EDGEWOOD GROWTH FUND INSTL CLASS (X)	A	Distribution	J	T					
68. --RS INVT TR SMALL CAP GROWTH FD CL Y (X)	A	Distribution	J	T					
69. --GOLDMAN SACHS TR FINL SQUARE TREAS (X) INSTRS FD INSTL CL			J	T					
70. --HARBOR FD INTL FD INSTL CL (X)	A	Distribution	J	T					
71. --HOTCHKIS & WILEY FDS DIVERSIFIED VALUE FUN 1 (X)	A	Dividend	J	T					
72. --AMERICAN FUNDS WASHINGTON MUTUAL FD F2 (X)	A	Distribution	J	T					
73. --JANUS INVT FD FLEXIBLE BD FD CLASS 1 (X)			J	T					
74. --LAZARD FDS INC EMERGING MKTS PORT INSTL SHS (X)	A	Dividend	J	T					
75. --MFS SER TRI VALUE FD CL 1 (X)	A	Distribution	J	T					
76. --MASS INV TRUST CLASS A (X)	A	Distribution	J	T					
77. --AMERICAN EUROPACIFIC GROWTH (X) FU CL F2	A	Dividend	J	T					
78. --OPPENHEIMER INTL GRWTH FD CL Y SHS (X)	A	Dividend	J	T					
79. --VIRTUS EMERGING MARKETS OPPORTUNITIESS FND CL 1 (X)	A	Dividend	J	T					
80. --PIMCO FDS PAC INVT MGMT SER- COMMODITY REAL RETURN STRAT FD INSTL CL	A	Dividend	J	T					
81. --RAINIER FDS MID CAP EQUITY FD INSTL CL (X)	A	Distribution	J	T					

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82. --RIDGEWORTH FDS MID-CAP VALUE EQUITY FD CLASS I (X)	A	Distribution	J	T					
83. --T ROWE PRICE REAL EST FUND INC (X)	A	Dividend	J	T					
84. --TOUCHSTONE INSTL FDS TR SANDS CAP INSTL GROWTH FD (X)	A	Distribution	J	T					
85. --VICTORY SYCAMORE SMALL CO OPPTY FD CL I (X)	A	Distribution	J	T					
86. MFS/SUN REGATTA PLATINUM VARIABLE ANNUITY IN IRA ACCT (H) (X)			N	T					
87. --MFS EMERGING MARKETS EQUITY PO (X)			K	T					
88. --MFS TOTAL RETURN SERIES INITIA (X)			L	T					
89. --MFS INTERNATIONAL GROWTH PORTF (X)			L	T					
90. --MFS CORPORATE BOND PORTFOLIO I (X)			K	T					
91. --MFS INTERNATIONAL VALUE PORTFO (X)			K	T					
92. --MFS RESEARCH INTERNATIONAL POR (X)			K	T					
93. --MFS VIT UTILITIES SERIES INITI (X)			K	T					
94. --MFS VIT VALUE SERIES INTIAL C (X)			K	T					

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

Part III.B., line 1. Spouse's income paid Jan. through May and Sept. through Dec. in reporting period.

Part VII, lines 1-24. Assets are the same as those listed in report for 2014 except for those sold that year, although listing format has been modified.

Part VII, lines 26 to 94. Spouse obtained 25% beneficial interest in trust assets listed upon the death of an individual on 12/05/15.

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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/ **James E. Gates**

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