

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 06/11/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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. 2011	N.C. CONSOLIDATED JUDICIAL RETIREMENT 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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2011	CONSOLIDATED JUDICIAL RETIREMENT SYSTEM OF N.C. - RETIREMENT	\$65,500.00
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.)*

DATE	SOURCE AND TYPE
1. 2011	NOVANT HEALTH CORPORATE PRESBYTERIAN HEALTHCARE - 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	REGENT UNIVERSITY LAW SCHOOL	Feb. 11-13, 2011	Virginia Beach, VA	MOOT COURT PARTICIPANT	AIRFARE, LODGING, AND MEALS
2.	COLLEGE OF WILLIAM AND MARY LAW SCHOOL	Feb. 18-20, 2011	Williamsburg, VA	MOOT COURT PARTICIPANT	AIRFARE, LODGING, AND MEALS
3.	LIBERTY UNIVERSITY LAW SCHOOL	Sept. 24-25, 2011	Lynchburg, VA	MOOT COURT PARTICIPANT	AIRFARE, LODGING, AND MEALS
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 (Y)									
5. NYSE:WMT (X)	A	Dividend	J	T					
6. NASDAQ:FTR (Y)									
7. ING DIRECT (Y)									
8. FIFTH THIRD (X)	A	Interest	J	T					
9. TRUST #1	C	Int./Div.	M	T					
10. -WELLS FARGO DEPOST ACCT									
11. -EATON VANCE NC MUNI FUNDS					Buy (add'l)	04/01/11	J		
12.					Sold (part)	04/15/11	J	A	
13.					Sold (part)	10/19/11	J	A	
14.					Sold (part)	11/21/11	J	A	
15. -GOLDMAN SACHS TR GS SHORT DURATION					Buy	10/21/11	J		
16.					Sold (part)	11/21/11	J	A	
17. -NUVEEN LIMITED TERM MUNICIPAL BOND FUND					Buy	10/21/11	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 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	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 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. -NUVEEN NC MUNI BOND					Buy	11/23/11	J		
19. -RIDGEWORTH SEIX HIGH YIELD BOND FUND					Buy	10/21/11	J		
20.					Buy (add'l)	11/23/11	J		
21. -T ROWE PRICE TAX-FREE HIGH YIELD FUND					Buy (add'l)	04/01/11	J		
22.					Sold (part)	04/15/11	J		
23.					Sold (part)	10/19/11	J		
24.					Sold (part)	11/21/11	J	A	
25. -VANGUARD INFLATION PROTECTED SECURITIES					Sold (part)	10/19/11	J	A	
26.					Sold (part)	11/21/11	J	A	
27. -DREYFUS EMERGING MARKETS DEBT LOCAL CURRENCY					Buy	10/21/11	J		
28.					Buy (add'l)	11/23/11	J		
29. -LAUDUS MONDRAIN INT'L FIXED INCOME FUND					Buy (add'l)	04/01/11	J		
30.					Sold (part)	10/19/11	J	A	
31.					Sold (part)	11/21/11	J	A	
32. -PIMCO EMERGING MARKETS BOND					Buy (add'l)	04/01/11	J		
33.					Sold (part)	10/19/11	J	A	
34.					Sold (part)	11/21/11	J	A	

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)

35. -PIMCO FOREIGN BOND FUND					Buy	10/21/11	J		
36.					Buy (add'l)	11/23/11	J		
37. -GOLDMAN SACHS GROWTH OPPORTUNITY FUND INST.					Buy	10/21/11	J		
38.					Buy (add'l)	11/23/11	J		
39. -HARBOR CAPITAL APPRECIATION FUND					Buy	10/21/11	J		
40.					Buy (add'l)	11/23/11	J		
41. -ISHARES RUSSELL 2000 INDEX					Buy (add'l)	06/02/11	J		
42.					Sold (part)	10/21/11	J		
43.					Sold (part)	11/23/11	J	A	
44. -ISHARES S&P 500 INDEX					Buy	04/05/11	J		
45.					Buy (add'l)	06/02/11	J		
46.					Sold (part)	11/23/11	J		
47. -ISHARES RUSSELL MIDCAP INDEX					Sold (part)	10/21/11	J	A	
48.					Sold (part)	11/23/11	J	B	
49. -JP MORGAN MID CAP VALUE FUND- CLASS I					Buy	10/21/11	J		
50.					Buy (add'l)	11/23/11	J		
51. -KEELEY SMALL CAP VALUE FUND CLASS					Buy	10/21/11	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	

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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				
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52.					Buy (add'l)	11/23/11	J		
53. -MAINSTAY EPOCH US EQUITY FUND					Buy	10/21/11	J		
54.					Buy (add'l)	11/23/11	J		
55. -MFS VALUE FUND-CLASS I					Buy	10/21/11	J		
56.					Buy (add'l)	11/23/11	J		
57. -TCW SMALL CAP GROWTH FUND CLASS I					Buy	10/21/11	J		
58.					Buy (add'l)	11/23/11	J		
59. -VANGUARD INSTITUTIONAL INDEX FUND					Sold (part)	04/15/11	J	A	
60.					Sold (part)	10/19/11	J	B	
61.					Sold (part)	11/21/11	J	B	
62. -ARTISAN INT'L FUND					Buy	10/21/11	J		
63.					Buy (add'l)	11/23/11	J		
64. -DODGE & COX INT'L STOCK					Buy (add'l)	04/01/11	J		
65.					Sold (part)	10/19/11	J		
66.					Sold (part)	11/21/11	J		
67. -OPPENHEIMER DEVELOPING MKT					Buy	10/21/11	J		
68.					Buy (add'l)	11/23/11	J		

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69. -VANGUARD EMERGING MARKETS					Buy (add'l)	04/05/11	J		
70.					Sold (part)	04/19/11	J	A	
71.					Sold (part)	11/23/11	J		
72. -DIAMOND HILL LONG-SHORT FUND					Buy	10/21/11	J		
73.					Buy (add'l)	11/23/11	J		
74. -HUSSMAN STRATEGIC GROWTH FUND					Buy	10/21/11	J		
75.					Buy (add'l)	11/23/11	J		
76. -MERGER FD SH BEN INT					Buy	10/21/11	J		
77.					Buy (add'l)	11/23/11	J		
78. -CREDIT SUISSE COMMODITY RETURN					Buy	10/21/11	J		
79.					Buy (add'l)	11/23/11	J		
80. -ING REAL ESTATE FUND					Sold (part)	04/15/11	J	A	
81.					Sold (part)	10/19/11	J	A	
82.					Sold (part)	11/21/11	J	A	
83. -MORGAN STANLEY INSTITUTIONAL FUND					Sold (part)	10/19/11	J		
84.					Sold (part)	11/21/11	J		
85. -PIMCO COMMODITY REALRETURN					Sold (part)	04/15/11	J	A	

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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86.					Buy (add'l)	05/31/11	J		
87.					Sold (part)	10/19/11	J		
88.					Sold (part)	11/21/11	J	A	
89. -SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE					Buy	10/21/11	J		
90.					Buy (add'l)	11/23/11	J		
91. -SPDR DOW JONES REIT ETF					Buy	04/05/11	J		
92.					Sold (part)	10/21/11	J		
93.					Sold (part)	11/23/11	J		
94. -VANGUARD REIT VIPER					Buy	10/21/11	J		
95.					Buy (add'l)	11/23/11	J		
96. IRA #1	A	Int./Div.	K	T					
97. -AMER BALANCED FD									
98. -INVESTMENT CO. AMERICA									
99.									

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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