

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Beaty, Jr., James A.	2. Court or Organization U. S. District Court-Middle District of North Carolina	3. Date of Report 02/02/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge (Retired)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 01/31/2018
7. Chambers or Office Address 251 North Main Street Suite 248 Winston-Salem, N.C. 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.)

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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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. 2017	NC Judicial retirement Vested Benefit	\$32,131.68
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.	
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.				
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.	Law Clerk Committee	Donation for Judge's Portrait and Public Reception for Portrait Unveiling	\$8,211.02
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. Duke Energy, Common Stock	A	Dividend	J	T	Buy (add'l)	01/25/17	J		
2. Merrill Lynch/Bankof America Spouse Retirement Account (H)									
3. -Cash	A	Interest	J	T					
4. -Money Account/BankofAmerica NA RASP	A	Interest	J	T					
5. -Various Mutual Funds: ConsumerDiscretionary (XLY)	A	Dividend	J	T					
6. -HealthCareSelect SPDR (XLV)	A	Dividend	J	T					
7. -iShares MSCI EAFE (EFA)Europe Australia Far East	A	Dividend	K	T					
8. -iShares IBOXX \$ (LQD)Bonds	A	Int./Div.	J	T					
9. -iShares TIPS Bonds (TIP)	A	Int./Div.	J	T					
10. -iShares 3-7 year Treasury Bonds (IEI)	A	Int./Div.	J	T					
11. -iShares MBS ETF (MBB)	A	Dividend	K	T					
12. -iShares IBOXXS High Yield Bonds (HYG)	A	Int./Div.	J	T					
13. -iShares INC CORE MSCI Emerging Mkts (IEMG)	A	Dividend	J	T					
14. -Materials Select Sector (XLB)	A	Dividend	J	T	Buy	12/07/17	J		
15. -PowerShares EM Sovereign Bonds (XLB)	A	Int./Div.	J	T					
16. -PowerSharesPreferred (PGX)	A	Dividend	J	T					
17. -Real Estate Select (XLRE)	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. -Sector SPRD Consumrs Stpl (XLP)	A	Dividend	J	T	Buy	12/08/17	J		
19. -Sector SPDR Energy (XLE)	A	Dividend	J	T					
20. -Sector SPDR Industrial (XLJ)	A	Dividend	J	T					
21. -Sector SPDR Utilities (XLU)	A	Dividend	J	T					
22. -SPDR S&P Insurance ETF (KIE)	A	Dividend	J	T					
23. -Vaneck Vectors JP Morgan EM Local Currency (EMLC)	A	Dividend	J	T	Buy	12/08/17	J		
24. -Vanguard Financials ETF (VFH)	A	Dividend	J	T	Buy	12/07/17	J		
25. -Vanguard Information Tech ETF (VGT)	A	Dividend	K	T	Buy	12/08/17	J		
26. -Vanguard Telecomm SRVCS (VOX)	A	Dividend			Sold	12/07/17	J	A	
27. -Vanguard Intermediate Term Bond ETF (BIV)	A	Dividend	K	T					
28. -Vanguard Short Term Bond ETF (BSV)	A	Dividend	J	T					
29. -iShares NASDAQ BioTech (IBB)	A	Dividend	J	T	Buy	09/25/17	J		
30. Equitable Variable -Alliance Common Stock Fund	A	Dividend	K	T					
31. AXA Equitable Incentive Life-Moderate Common Fund	A	Dividend	K	T					
32. Bank of America Savings Account	A	Interest	J	T					
33. Vacant Real Estate Forsyth NC/ Parcel 1		None	J	W					
34. Vacant Real Estate Forsyth NC/ Parcel 2		None	J	W					

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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. Vacant Real Estate/Union SC		None	L	W					
36. NewBridge(First National Bank) Checking	A	Interest	K	T					
37. Wells Fargo Bank Checking	A	Interest	J	T					
38. Wells Fargo Bank Money Market	A	Interest	J	T					
39. Allegacy Federal Credit Union Accounts	A	Interest	K	T					
40. Allegacy Federal Credit Union Certificate of Deposit	A	Interest	L	T					
41. Lowes Stock	A	Dividend	J	T					
42. United Technologies (UTX)	A	Dividend	J	T	Buy	01/26/18	J		

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

Section V. GIFTS: In 2015, a Portrait Artist was commissioned to paint an official court portrait. The estimated delivery date was May 2016. In the early Spring of 2017, a former law clerk formed a committee to determine the former clerks' interest in assisting with the cost of the portrait. At no time were the amounts donated nor the identity of the contributors disclosed. The cost of the portrait and custom frame exceeded the amount the committee leader had been able to raise, but no one outside of the clerks was solicited for contributions. Given that the original intent was to donate the portrait to the Court, the amount that was contributed was redirected to taking care of the cost of the public reception on March 31, 2017 for the portrait unveiling and other related expenses. A cashier's check listing Emily E. Erixson, as the Remitter, dated April 24, 2017, in the amount of \$8,211.02, noting that it was for the Portrait Dedication was delivered as a gift on May 2017. The actual amount had not been known until the check arrived. On April 12, 2017, the official portrait was accepted by Court with the approval of the Director of the Administrative Office of the Courts.

Section VII. INVESTMENTS AND TRUSTS: The entry at item number 41 identified as Lowes Stock, is not a new item. It had been listed on the initial Annual Report filed on May 5, 2017, but was inadvertently omitted from the Amended report filed on August 30, 2017.

The entry at item number 42, identified as United Technologies, is a new item that was purchased as noted on January 26, 2018.

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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 A. Beaty, Jr.**

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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Washington, D.C. 20544