AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Bell, Kenneth D.	U.S. District Court, Western District of North Carolina	05/12/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2022 **to** 12/31/2022
7. Chambers or Office Address		
Charles R. Jonas Federal Building 401 W Trade St Suite 7200 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	U.S. District Judge	U.S. District Court, Western District of North Carolina
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2009	McGuireWoods LLC Retirement Plan with former law firm, managed, maintained, controlled and owned by former employer
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Bell, Kenneth D.	05/12/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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)	
1.	Bank of America - cash account	A	Interest	N	T					
2.	Wells Fargo - cash account	A	Interest	J	T					
3.	Mezanotte LLC	A	Distribution			Closed	01/01/22	J	A	
4.	Kure Corp	A	Distribution	J	T					
5.	AMV Holdings, LLC	A	Distribution	J	T					
6.	Rental Property #1 Oak Island, NC Purchased: 5/19/2019 $295,000	A	Rent			Closed	01/01/22	N	A	
7.	Prudential AST T. Rowe Price Growth Opps Portfolio	E	Dividend	M	T					
8.	Prudential AST Capital Growth Asset Allocation	E	Dividend	M	T					
9.	Prudential Secure Value Account	A	Dividend	K	T					
10.	Optum Bank Health Savings Account	A	Int./Div.	J	T					
11.	HSA Bank Health Savings Account	A	Int./Div.	K	T	Distributed (part)	12/31/22	J		
12.	Isodiol International, Inc.		None	J	T					
13.	Wells Fargo WFCS Custodian Trad IRA (H)									
14.	- American Gen Life Ins Edge Income Bldr Fixed Annuity	A	Int./Div.	N	T	Open	11/17/22	N		
15.	Wells Fargo Fundamental Choice IRA #1 (H)									
16.	- Wells Fargo Standard Bank Cash	A	Int./Div.	K	T					
17.	- First Trust Mornngstretf Dividend Leaders Index ETF FTL	C	Int./Div.	M	T	Open	07/14/22	M		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (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.					Sold (part)	12/01/22	J	A	
19. - First Trust Rising Dividend Achievers ETF	C	Int./Div.	M	T	Sold (part)	12/01/22	J	A	
20.					Sold (part)	07/14/22	K	B	
21.					Sold (part)	04/04/22	L	C	
22.					Buy (add'l)	01/19/22	M		
23. - First Trust Value Line ETF	C	Int./Div.			Closed	07/14/22	M	D	
24.					Open	04/04/22	M		
25. - First Trust Financial Alphadex Fund ETF	C	Int./Div.			Closed	04/04/22	L	D	
26. - First Trust Industrials Producer Durables Alphadextm Fund ETF	C	Int./Div.			Closed	04/04/22	L	A	
27.					Open	01/19/22	L		
28. - Invesco Buyback Achievers ETF PKW	A	Int./Div.	L	T	Buy (add'l)	07/14/22	L		
29.					Sold (part)	10/12/22	J	A	
30.					Sold (part)	12/01/22	J	A	
31.					Buy (add'l)	04/04/22	J		
32.					Open	01/19/22	L		
33. - Invesco Optmum Yld ETF Diversified Commodoty Strategy PDBC	C	Int./Div.	K	T	Buy (add'l)	12/01/22	K		
34.					Sold (part)	10/12/22	J	A	

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35.					Open	07/14/22	K		
36. - Invesco S&P Small Cap ETF Value XSVM	A	Int./Div.	K	T	Open	01/19/22	K		
37.					Sold (part)	12/01/22	J	B	
38. - Invesco TR II ETF 1-30 Laddered Treasury PLW	A	Int./Div.	K	T	Open	12/01/22	K		
39. - JP Morgan Equity TR ETF Premium Income Fund JEPI	D	Int./Div.	M	T	Buy (add'l)	10/12/22	L		
40.					Open	07/14/22	M		
41. - Sector SPDR TR Technology Select Sector XLK	A	Int./Div.	K	T	Buy (add'l)	10/12/22	J		
42.					Sold (part)	12/01/22	J	A	
43.					Buy (add'l)	07/14/22	J		
44.					Open	04/04/22	L		
45.					Sold (part)	01/19/22	L	C	
46. - Select Sector SPDR F Healthcare XLV	A	Int./Div.	K	T	Open	04/04/22	K		
47.					Sold (part)	07/14/22	J	A	
48. - Vanguard International High Dividend Yield VYMI	B	Int./Div.	L	T	Sold (part)	12/01/22	J		
49.					Sold (part)	10/12/22	J	A	
50.					Sold (part)	07/14/22	J	A	
51.					Sold (part)	01/19/22	J	A	

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52. - Alger Growth Small Cap Focus AGOZX	A	Int./Div.	K	T	Buy (add'l)	12/01/22	J		
53.					Buy (add'l)	01/19/22	J		
54. - Calamos Market Neutral Income Fund CMNIX	A	Int./Div.	K	T	Buy (add'l)	12/01/22	J		
55.					Sold (part)	04/04/22	J	A	
56.					Buy (add'l)	01/19/22	K		
57. - Carillon Ser TR Eagle Mid Cap Growth Fd HAGIX	A	Int./Div.	K	T	Buy (add'l)	10/12/22	K		
58.					Sold (part)	07/14/22	K	B	
59.					Sold (part)	04/04/22	J	A	
60.					Sold (part)	01/19/22	K	A	
61. - Delaware Group Global & Intl Fds DEMIX	A	Int./Div.	K	T	Sold (part)	10/12/22	J	A	
62.					Buy (add'l)	07/14/22	J		
63.					Sold (part)	04/04/22	K	B	
64.					Sold (part)	01/19/22	J	A	
65. - American Funds Bond Fund of America ABNFX	B	Int./Div.	L	T	Buy (add'l)	12/01/22	K		
66.					Buy (add'l)	10/12/22	K		
67.					Sold (part)	07/14/22	K	A	
68.					Sold (part)	01/19/22	K	A	

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69. - Franklin Custodian FDS Income Ser Adv FRIAX	B	Int./Div.	K	T	Buy (add'l)	10/12/22	K		
70.					Sold (part)	07/14/22	J	A	
71.					Buy (add'l)	04/04/22	K		
72. - Invesco Balanced Risk Commodity Strat BRCYX	A	Int./Div.	L	T	Buy (add'l)	12/01/22	L		
73.					Sold (part)	10/12/22	J	A	
74.					Buy (add'l)	07/14/22	J		
75.					Sold (part)	04/04/22	J	A	
76.					Sold (part)	01/19/22	J	A	
77. - Principal Inv Fund Real Estate Secs FD PIREX	A	Int./Div.	K	T	Buy (add'l)	10/12/22	K		
78.					Buy (add'l)	07/14/22	J		
79.					Sold (part)	04/04/22	J	A	
80.					Open	01/19/22	K		
81. - PGIM Short-Term Corp Bond PIFZX	B	Int./Div.	L	T	Buy (add'l)	12/01/22	K		
82.					Open	07/14/22	L		
83.					Sold (part)	10/12/22	K	A	
84. - Touchstone FDS Group Mid-Cap Fund TMCPX	A	Int./Div.	L	T	Buy (add'l)	12/01/22	L		
85.					Open	07/14/22	K		

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86. - Allspring Core Plus Bond Fund WIPIX	B	Int./Div.	L	T	Buy (add'l)	12/01/22	K		
87.					Buy (add'l)	10/12/22	K		
88.					Sold (part)	07/14/22	K	B	
89.					Buy (add'l)	04/04/22	K		
90. - Alphasimplex Managed Futures Strategy FD CL Y					Closed	12/01/22	K	B	
91.					Sold (part)	10/12/22	J	A	
92.					Buy (add'l)	07/14/22	J		
93.					Buy (add'l)	04/04/22	K		
94. - Blackrock Systematic Multi-Strategy Fund SHS	A	Int./Div.			Closed	12/01/22	K	B	
95.					Buy (add'l)	07/14/22	J		
96.					Sold (part)	04/04/22	J	A	
97.					Buy (add'l)	01/19/22	K		
98. - Principal FDS Inc Global Multistrategy FD	A	Int./Div.			Closed	12/01/22	J	A	
99.					Buy (add'l)	07/14/22	J		
100.					Buy (add'l)	04/04/22	K		
101. - Alger Growth Small Cap Focus FD CL Z	A	Int./Div.			Closed	10/12/22	J	A	
102.					Buy (add'l)	07/14/22	J		

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103.					Sold (part)	04/04/22	K	A	
104. - Barings Funds Global Credit Income Opp	A	Int./Div.			Closed	01/01/22	K	A	
105. - Blackrock Technology Opportunities Fund BGSIX	A	Int./Div.			Closed	01/19/22	K	C	
106. - Blackrock Health Sciences Opp Fund SHSSX	A	Int./Div.			Closed	01/01/22	J	A	
107. - Blackrock Total Return Fund MAHQX	B	Int./Div.			Closed	04/04/22	K	B	
108.					Sold (part)	01/19/22	J	B	
109. - Calamos Invt TR NEW CNWIX	A	Int./Div.			Closed	07/14/22	J	B	
110.									
111. - PGIM Floating Rate	A	Int./Div.			Closed	04/04/22	K	A	
112.					Sold (part)	01/19/22	K	A	
113. - Franklin Invs Secs Tr Conv Secs Fund FCSZX	B	Int./Div.			Closed	01/19/22	K	A	
114. - Harbor Fund Small Cap Value Fd HASCX	A	Int./Div.			Closed	01/19/22	L	C	
115. - Legg Mason Funds Clearbridge Intl Growth LMGNX	A	Int./Div.			Closed	04/04/22	L	B	
116.					Buy (add'l)	01/19/22	J		
117. - Principal Spectrum PFD and Capital Securities Income Fund PPSIX	C	Int./Div.			Closed	01/01/22	J	A	
118. - IShares Edge MSCI ETF USA Quality Factor ETF	B	Int./Div.	M	T	Sold (part)	12/01/22	J	A	
119.					Sold (part)	10/12/22	K	B	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Bell, Kenneth D.	05/12/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
120.					Sold (part)	07/14/22	K	B	
121.					Buy (add'l)	04/04/22	K		
122.					Sold (part)	01/19/22	K	B	
123. - Invesco S&P Small Cap ETF Value with Momentum	A	Int./Div.			Closed	10/12/22	K	B	
124.					Sold (part)	07/14/22	J	A	
125.					Sold (part)	04/04/22	J	A	
126.					Buy (add'l)	01/19/22	L		
127. - BNY Mellon Global Real Return FD Cl I	A	Int./Div.			Closed	07/14/22	K	C	
128.					Sold (part)	04/04/22	J	A	
129.					Buy (add'l)	01/19/22	K		
130. - Victory Sycamore Establish Value FD CL I	A	Int./Div.			Closed	07/14/22	K	B	
131.					Sold (part)	04/04/22	J	A	
132.					Open	01/19/22	K		
133. MassMutual Advantage FDS Global CR Income Opptys FD CL Y	A	Int./Div.			Closed	01/20/22	K	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

Name of Person Reporting	Date of Report
Bell, Kenneth D.	05/12/2023

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Kenneth D. Bell

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. § 13106)

Committee on Financial Disclosure
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