AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*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 | 07/12/2024 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2023<br>**to**<br>12/31/2023 |
| **7. Chambers or Office Address** | | |
| Charles R. Jonas Federal Building<br>401 W Trade St<br>Suite 7200<br>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. | |
| 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.** | 07/12/2024 |

## 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. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 1. Bank of America - cash account | D | Interest | N | T | | | | | |
| 2. Wells Fargo - cash account | C | Interest | J | T | | | | | |
| 3. Kure Corp | A | Distribution | J | T | | | | | |
| 4. AMV Holdings, LLC | A | Distribution | J | T | | | | | |
| 5. Prudential AST T. Rowe Price Growth Opps Portfolio | E | Dividend | M | T | | | | | |
| 6. Prudential AST Capital Growth Asset Allocation | E | Dividend | M | T | | | | | |
| 7. Prudential Secure Value Account | A | Dividend | K | T | | | | | |
| 8. Optum Bank Health Savings Account | A | Int./Div. | J | T | | | | | |
| 9. HSA Bank Health Savings Account | A | Int./Div. | K | T | Distributed (part) | 12/31/23 | J | | |
| 10. Isodiol International, Inc. | | None | J | T | | | | | |
| 11. Carnegie Private Wealth IRA Strategic Asset Management I (H) | | | | | | | | | |
| 12. - American Gen Life Ins Edge Income Bldr Fixed Annuity | A | Int./Div. | N | T | | | | | |
| 13. Carnegie Private Wealth IRA Strategic Asset Management II (H) | | | | | | | | | |
| 14. - Wells Fargo Standard Bank Cash | B | Int./Div. | | | Closed | 03/31/23 | K | A | |
| 15. - JP Morgan Chase Bank Deposit Cash | A | Int./Div. | K | T | Open | 03/31/23 | K | | |
| 16. - JP Morgan Liquid Assets Money Mkt Premier PJLXX | A | Int./Div. | L | T | Open | 08/01/23 | L | | |
| 17. | | | | | Sold (part) | 10/03/23 | J | 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

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|---|---|---|---|---|---|---|---|---|---|
| 18. | | | | | Buy (add'l) | 11/01/23 | J | | |
| 19. | | | | | Buy (add'l) | 12/01/23 | J | | |
| 20. - First Trust Mornngstar Dividend Leaders Index ETF FDL | C | Int./Div. | M | T | Buy (add'l) | 06/15/23 | J | | |
| 21. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 22. - First Trust Rising Dividend Achievers ETF RDVY | C | Int./Div. | M | T | Buy (add'l) | 06/15/23 | L | | |
| 23. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 24. | | | | | Sold (part) | 08/10/23 | L | C | |
| 25. - First Trust CBOE Vest FD Buffer ETF BUFR | | None | M | T | Open | 10/03/23 | M | | |
| 26. - JP Morgan Equity TR ETF Premium Income Fund JEPIX | D | Int./Div. | L | T | Sold (part) | 06/15/23 | M | A | |
| 27. | | | | | Sold (part) | 10/03/23 | J | A | |
| 28. | | | | | Buy (add'l) | 06/15/23 | L | | |
| 29. | | | | | Buy (add'l) | 07/03/23 | J | | |
| 30. | | | | | Buy (add'l) | 08/01/23 | J | | |
| 31. | | | | | Buy (add'l) | 09/01/23 | J | | |
| 32. | | | | | Buy (add'l) | 11/03/23 | J | | |
| 33. | | | | | Buy (add'l) | 12/01/23 | J | | |
| 34. - Sector SPDR TR Technology Select Sector XLK | A | Int./Div. | L | T | Sold (part) | 06/15/23 | J | A | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 36. - Vanguard International High Dividend Yield VYMI | B | Int./Div. | L | T | Buy (add'l) | 03/31/23 | J | | |
| 37. | | | | | Buy (add'l) | 06/15/23 | K | | |
| 38. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 39. - Vanguard FTSE Emerging Markets ETF VWO | | None | K | T | Open | 06/15/23 | K | | |
| 40. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 41. - Vanguard Growth ETF VUG | | None | L | T | Open | 06/15/23 | L | | |
| 42. | | | | | Sold (part) | 10/03/23 | J | | |
| 43. - Alger Growth Small Cap Focus AGOZX | | None | K | T | Buy (add'l) | 06/15/23 | J | | |
| 44. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 45. - Calamos Market Neutral Income Fund CMNIX | A | Int./Div. | K | T | Buy (add'l) | 03/16/23 | J | | |
| 46. | | | | | Buy (add'l) | 06/16/23 | J | | |
| 47. | | | | | Buy (add'l) | 09/18/23 | J | | |
| 48. | | | | | Buy (add'l) | 12/22/23 | J | | |
| 49. | | | | | Sold (part) | 10/03/23 | J | A | |
| 50. | | | | | Sold (part) | 06/15/23 | J | A | |
| 51. - Delaware Group Global & Intl Fds DEMIX | A | Int./Div. | K | T | Buy (add'l) | 06/15/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 52. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 53. | | | | | Buy (add'l) | 12/19/23 | J | | |
| 54. - Franklin Custodian FDS Income Ser Adv FRIAX | B | Int./Div. | K | T | Buy (add'l) | 01/05/23 | J | | |
| 55. | | | | | Buy (add'l) | 02/02/23 | J | | |
| 56. | | | | | Buy (add'l) | 03/02/23 | J | | |
| 57. | | | | | Buy (add'l) | 04/04/23 | J | | |
| 58. | | | | | Buy (add'l) | 05/02/23 | J | | |
| 59. | | | | | Buy (add'l) | 06/02/23 | J | | |
| 60. | | | | | Buy (add'l) | 07/05/23 | J | | |
| 61. | | | | | Buy (add'l) | 08/02/23 | J | | |
| 62. | | | | | Buy (add'l) | 09/05/23 | J | | |
| 63. | | | | | Buy (add'l) | 11/03/23 | J | | |
| 64. | | | | | Buy (add'l) | 12/04/23 | J | | |
| 65. | | | | | Sold (part) | 10/03/23 | J | A | |
| 66. | | | | | Sold (part) | 06/15/23 | J | A | |
| 67. - IShares Edge MSCI ETF USA Quality Factor ETF QUAL | B | Int./Div. | M | T | Buy (add'l) | 06/15/23 | K | | |
| 68. | | | | | Sold (part) | 10/03/23 | J | A | |

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|---|---|---|---|---|---|---|---|---|---|
| 69. - IShares MSCI EAFE Growth ETF EFG | | None | L | T | Open | 06/15/23 | L | | |
| 70. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 71. - IShares 10+ Year Investment Grade Corp Bond ETF IGLB | | None | L | T | Open | 10/03/23 | L | | |
| 72. - IShares Morningstar Mid Cap Growth ETF IMCG | | None | K | T | Open | 10/03/23 | K | | |
| 73. - IShares Morningstar Mid Cap Value ETF IMCV | | None | K | T | Open | 10/03/23 | K | | |
| 74. - Invesco S&P Small Cap ETF Value with Momentum XSVM | A | Int./Div. | K | T | Buy (add'l) | 06/15/23 | K | | |
| 75. | | | | | Sold (part) | 10/03/23 | K | A | |
| 76. - Invesco Equal Weight 0-30 Yr Treas ETF GOVI | | None | L | T | Sold (part) | 10/03/23 | L | A | |
| 77. | | | | | Open | 06/15/23 | L | | |
| 78. - Select Sector SPDR F Healthcare XLV | A | Int./Div. | | | Closed | 06/15/23 | K | A | |
| 79. - Invesco Balanced Risk Commodity Strat BRCYX | D | Int./Div. | | | Closed | 06/15/23 | L | A | |
| 80. - Invesco Buyback Achievers ETF PKW | A | Int./Div. | | | Closed | 06/15/23 | L | A | |
| 81. - Invesco Optmum Yld ETF Diversified Commodoty Strategy PDBC | C | Int./Div. | | | Closed | 10/03/23 | J | A | |
| 82. - Vanguard Small Cap Growth ETF VBK | | None | | | Open | 06/15/23 | K | | |
| 83. | | | | | Closed | 10/03/23 | K | A | |
| 84. - Vanguard Mid Cap Growth ETF VOT | | None | | | Open | 06/15/23 | L | | |
| 85. | | | | | Closed | 10/03/23 | L | A | |

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|---|---|---|---|---|---|---|---|---|---|
| 86. - Vanguard Mid Cap Value ETF VOE | | None | | | Open | 06/15/23 | L | | |
| 87. | | | | | Closed | 10/03/23 | L | A | |
| 88. - Carillon Ser TR Eagle Mid Cap Growth Fd HAGIX | | None | | | Closed | 06/15/23 | K | D | |
| 89. - American Funds Bond Fund of America ABNFX | B | Int./Div. | | | Buy (add'l) | 01/03/23 | J | | |
| 90. | | | | | Buy (add'l) | 02/01/23 | J | | |
| 91. | | | | | Buy (add'l) | 03/01/23 | J | | |
| 92. | | | | | Buy (add'l) | 04/03/23 | J | | |
| 93. | | | | | Buy (add'l) | 05/01/23 | J | | |
| 94. | | | | | Buy (add'l) | 06/01/23 | J | | |
| 95. | | | | | Closed | 06/15/23 | L | A | |
| 96. - Principal Inv Fund Real Estate Secs FD PIREX | A | Int./Div. | | | Buy (add'l) | 03/20/23 | J | | |
| 97. | | | | | Closed | 06/15/23 | K | A | |
| 98. - PGIM Short-Term Corp Bond PIFZX | B | Int./Div. | | | Buy (add'l) | 01/03/23 | J | | |
| 99. | | | | | Buy (add'l) | 02/01/23 | J | | |
| 100. | | | | | Buy (add'l) | 03/01/23 | J | | |
| 101. | | | | | Buy (add'l) | 04/03/23 | J | | |
| 102. | | | | | Buy (add'l) | 05/01/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 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.** | 07/12/2024 |

## 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 103. | | | | | Buy (add'l) | 06/01/23 | J | | |
| 104. | | | | | Closed | 06/15/23 | L | A | |
| 105. - Touchstone FDS Group Mid-Cap Fund TMCPX | A | Int./Div. | | | Closed | 06/15/23 | L | D | |
| 106. - Allspring Core Plus Bond Fund WIPIX | B | Int./Div. | | | Buy (add'l) | 01/26/23 | J | | |
| 107. | | | | | Buy (add'l) | 02/23/23 | J | | |
| 108. | | | | | Buy (add'l) | 03/28/23 | J | | |
| 109. | | | | | Buy (add'l) | 04/25/23 | J | | |
| 110. | | | | | Buy (add'l) | 05/23/23 | J | | |
| 111. | | | | | Closed | 06/15/23 | L | 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Bell, Kenneth D.** | 07/12/2024 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Bell, Kenneth D.** | 07/12/2024 |

## 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
Administrative Office of the United States Courts
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