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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 |
|---|---|---|
| DIAZ, ALBERT | FOURTH CIRCUIT | 07/10/2023 |
| **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** |
| CIRCUIT JUDGE ACTIVE | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022 **to** 12/31/2022 |

**7. Chambers or Office Address**

FIFTH THIRD CENTER
201 N. TRYON ST., SUITE 1440
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. | Member | Contracts Law Drafting Committee, National Conference of Bar Examiners |
| 2. | Board of Advisors | Antonin Scalia Law School (George Mason University) Judicial Education Program |
| 3. | Board of Directors | Federal Judges Association |
| 4. | Trustee | Trust #1 (Unfunded) |
| 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. | 2006 | State of North Carolina: Judicial Pension |
| 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. | 2022 | Multistate Bar Exam Contracts Law Drafting Committee, National Conference of Bar Examiners stipend | $8,000.00 |
| 2. | 2022 | North Carolina Judicial Retirement | $22,328.22 |
| 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. | Federal Judges Association | 2/25/22 to 2/27/22 | Washington, DC | Board Meeting | Transportation, hotel, meals |
| 2. | Duke Law School | 3/31/22 to 4/1/22 | Durham, NC | Moot Court Competition | Hotel, meals |
| 3. | National Conference of Bar Examiners | 4/7/22 to 4/10/22 | Washington, DC | Attend meeting | Transportation, hotel, meals |
| 4. | Federal Judges Association | 4/30/22 to 5/2/22 | Washington, DC | Attend annual conference | Transportation, hotel meals |
| 5. | North Carolina Bar Association | 6/23/22 to 6/24/22 | Winston Salem, NC | Attend annual meeting | Hotel, Meals |

| | | | | | |
|---|---|---|---|---|---|
| 6. | National Association of Appellate Court Attorneys | 7/7/22 to 7/8/22 | Berkeley, CA | Speak at annual conference | Hotel, Meals, Transportation |
| 7. | National Conference of Bar Examiners | 9/8/22 to 9/11/22 | Minneapolis, Mn | Attend meeting | Transportation, meals, hotel |
| 8. | | | | | |

## 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. | American Express | Revolving Charge Account | K |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **DIAZ, ALBERT** | 07/10/2023 |

## 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<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 1. Vanguard 500 Index Fund Admiral IRA Brokerage Account #1 | A | Dividend | M | T | | | | | |
| 2. | | | | | Sold (part) | 07/06/22 | K | | |
| 3. | | | | | Sold (part) | 07/06/22 | L | | |
| 4. T. Rowe Price Mid Cap Growth Fund IRA | | None | | | | | | | |
| 5. | | | | | Sold | 04/18/22 | J | | |
| 6. T. Rowe Price Capital Appreciation Fund IRA | D | Dividend | L | T | | | | | |
| 7. USAA Insurance Co. Subscriber Account | | None | J | T | | | | | |
| 8. Navy Federal Credit Union Cash Accounts | A | Interest | K | T | | | | | |
| 9. Vanguard Total Stock Market Index Fund Admiral IRA Brokerage Acct #2 | B | Dividend | M | T | | | | | |
| 10. | | | | | Sold (part) | 06/21/22 | K | | |
| 11. Vanguard Short Term Bond Index Fund Admiral IRA Brokerage Account #2 | B | Dividend | L | T | | | | | |
| 12. | | | | | Sold (part) | 08/16/22 | K | | |
| 13. | | | | | | | | | |
| 14. Vanguard Equity Income Fund Admiral IRA Brokerage Account #2 | D | Dividend | M | T | | | | | |
| 15. Vanguard Ultra Short Term Bond Fund Admiral Brokerage Account #2 | A | Dividend | L | T | | | | | |
| 16. Vanguard Equity Income Fund Admiral IRA Brokerage Acct #1 | D | Dividend | M | T | Buy | 07/06/22 | L | | |
| 17. US Treasury Bond | A | Interest | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **DIAZ, ALBERT** | 07/10/2023 |

## 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) | |
| 18. US Treasury Bond | A | Interest | J | T | | | | | |
| 19. US Treasury Bond | A | Interest | J | T | | | | | |
| 20. US Treasury Bond | A | Interest | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **DIAZ, ALBERT** | 07/10/2023 |

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

Part I: The trust is a unfunded trust created in December 2015.

Part VII: My 2021 report incorrectly shows that we continued to hold shares in the Vanguard Total Bond Index Fund Admiral IRA at the end of the reporting period. We sold all remaining shares in that investment as part of the 3/16/21 sell transaction listed on the 2021 report. As a result, this report no longer lists that investment.

| Name of Person Reporting | Date of Report |
|---|---|
| **DIAZ, ALBERT** | 07/10/2023 |

## 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/ ALBERT DIAZ**

**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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