AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
DIAZ, ALBERT	FOURTH CIRCUIT	06/14/2022
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 ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021

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.	Executive Committee (Immediate Past-Chair)	Appellate Judges Conference, American Bar Association
4.	Board of Directors (Chair)	Appellate Judges Education Institute
5.	Board of Directors	Federal Judges Association
6.	Trustee	Trust #1 (Unfunded)

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	Judicial Retirement Plan, receiving annual pension from the State of North Carolina for prior service as a state trial judge
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.	2021	Multistate Bar Exam Contracts Drafting Committee, National Conference of Bar Examiners stipend	$8,000.00
2.	2021	North Carolina Judicial Retirement	$21,898.83
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.	Antonin Scalia Law School-George Mason University	6/6/21 to 6/12/21	Beaver Creek, CO	Attend Judicial Education Program	Transportation, hotel, meals
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.	American Express	Revolving Charge Account	K
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
DIAZ, ALBERT	06/14/2022

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.	Vanguard 500 Index Fund Admiral IRA (Brokerage Account)	C	Dividend	N	T					
2.	T. Rowe Price Mid Cap Growth Fund IRA	A	Dividend	J	T					
3.						Sold (part)	08/18/21	K		
4.	T. Rowe Price Capital Appreciation Fund IRA	D	Dividend	L	T					
5.	USAA Insurance Co. Subscriber Account		None	J	T					
6.	Navy Federal Credit Union Accounts	A	Interest	K	T					
7.	Vanguard Total Bond Index Fund Admiral IRA (Brokerage Account)	A	Dividend	M	T					
8.						Sold (part)	03/09/21	L		
9.						Sold (part)	03/16/21	L		
10.	Vanguard Total Stock Market Index Fund Admiral IRA (Brokerage Account)	B	Dividend	M	T					
11.	Vanguard Short Term Bond Index Fund Admiral IRA (Brokerage Account)	B	Dividend	M	T					
12.						Sold (part)	01/06/21	J		
13.						Sold (part)	03/17/21	K		
14.	Vanguard Equity Income Fund Admiral IRA (Brokerage Account)	D	Dividend	M	T	Buy	03/09/21	L		
15.						Buy (add'l)	03/17/21	K		
16.	Vanguard Ultra Short Term Bond Fund Admiral (Brokerage Account)	A	Dividend	L	T	Buy	03/16/21	L		
17.						Sold (part)	12/29/21	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
DIAZ, ALBERT	06/14/2022

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

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

Part VII: The 2021 report does not list the Vanguard Federal Money Market Fund IRA (Brokerage) account, which was listed on my 2020 report as an active account with a balance between $15,001-$50,000. That was a mistake, as I sold all shares in the Money Market Fund in 2020 as part of the three sales transactions I reported for 2020, leaving a zero balance in the Fund at the end of 2020.

Name of Person Reporting	Date of Report
DIAZ, ALBERT	06/14/2022

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/ 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. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544