



Filing ID #10008473

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** James Duncan  
**Status:** Congressional Candidate  
**State/District:** NC02

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2015  
**Filing Date:** 08/13/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
AbbVie Inc. (ABBV)		\$15,001 - \$50,000	None		
AbbVie Inc. (ABBV)	SP	\$15,001 - \$50,000	None		
American Tower Corporation (AMT)	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$2,501 - \$5,000
American Tower Corporation (AMT)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$5,001 - \$15,000
AMETEK, Inc. (AME)		\$15,001 - \$50,000	Interest	\$1 - \$200	\$15,001 - \$50,000
AMETEK, Inc. (AME)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Apache Corporation (APA)	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Apache Corporation (APA)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Apple Inc. (AAPL)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Apple Inc. (AAPL)	SP	\$100,001 - \$250,000	Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Bank of America		\$1,001 - \$15,000	None		
DESCRIPTION: Bank of America, Checking, Charlotte, NC					
Berkshire Hathaway Inc. (BRK.A)	SP	\$250,001 - \$500,000	None		
Berkshire Hathaway Inc. (BRK.A)		None	Capital Gains	\$100,001 - \$1,000,000	None
BlackRock, Inc. (BLK)		\$15,001 - \$50,000	Dividends	\$1 - \$200	None
BlackRock, Inc. (BLK)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
Bombardier Inc. Class B Shares (BDRBF)		None	None		
Bombardier Inc. Convertible Class A Shares (BDRAF)	SP	None	None		
BorgWarner Inc. (BWA)	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
BorgWarner Inc. (BWA)		\$50,001 - \$100,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
Celgene Corporation (CELG)		\$15,001 - \$50,000	None		
Celgene Corporation (CELG)	SP	\$15,001 - \$50,000	None		
Church & Dwight Company, Inc. (CHD)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Church & Dwight Company, Inc. (CHD)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Comcast Corporation - Class A (CMCSA)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Comcast Corporation - Class A (CMCSA)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
Costco Wholesale Corporation (COST)	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Costco Wholesale Corporation (COST)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Cummins Inc. (CMI)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Cummins Inc. (CMI)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
CVS Health Corporation (CVS)		\$15,001 - \$50,000	None		
CVS Health Corporation (CVS)	SP	\$15,001 - \$50,000	None		
Cytec Industries Inc. (CYT)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Cytec Industries Inc. (CYT)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Danaher Corporation (DHR)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Danaher Corporation (DHR)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Diageo plc (DEO)	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Diageo plc (DEO)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Elizabeth J. Duncan Broker Managed IRA ⇒ FGT Franklin International Growth	SP	\$1,001 - \$15,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ Franklin Intl Smal COS	SP	\$1,001 - \$15,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ Franklin LG CAP Equity Fund	SP	\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Elizabeth J. Duncan Broker Managed IRA ⇒ Franklin Small Cap Value	SP	\$1,001 - \$15,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ iShares Currency Hedge MSCI EUROZ (ETF)	SP	\$1 - \$1,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ iShares Currency Hedge MSCI JAP (ETF)	SP	\$1 - \$1,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ Oak Ridge Small Cap Fund	SP	\$1,001 - \$15,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ Openhimer Developing MKT	SP	\$1,001 - \$15,000	Tax-Deferred		
Elizabeth J. Duncan Broker Managed IRA ⇒ Templeton Instl Fund Foreign Eq	SP	\$1,001 - \$15,000	Tax-Deferred		
EMC Corporation (EMC)	SP	None	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Emerson Electric Company (EMR)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Emerson Electric Company (EMR)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Estee Lauder Companies, Inc. (EL)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Estee Lauder Companies, Inc. (EL)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Exxon Mobil Corporation (XOM)	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$15,001 - \$50,000
Exxon Mobil Corporation (XOM)		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$15,001 - \$50,000
Facebook, Inc. - Class A (FB)		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	None
Facebook, Inc. - Class A (FB)	SP	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Feduciary Trust Intl. (Boker IRA Managed)		\$15,001 - \$50,000	None		
DESCRIPTION: This is a broker managed cash account for IRA proceeds between trades. Managed by Feduciary Trust International.					
Feduciary Trust Intl. (Boker IRA Managed)	SP	\$1,001 - \$15,000	None		
DESCRIPTION: This is a broker managed cash account for IRA proceeds between trades. Managed by Feduciary Trust International.					
Feduciary Trust Intl. (Boker Managed)		\$15,001 - \$50,000	None		
DESCRIPTION: Broker Managed Cash Account by Feduciary Trust International.					
Feduciary Trust Intl. (Broker Managed)	SP	\$15,001 - \$50,000	None		
DESCRIPTION: This is a broker managed cash account for proceeds between trades. Managed by Feduciary Trust International.					
Fortinet, Inc. (FTNT)	SP	\$15,001 - \$50,000	None		
Fortinet, Inc. (FTNT)		\$15,001 - \$50,000	None		
Franklin Federal Limited Term Tax Free		\$100,001 - \$250,000	Tax-Deferred		
Franklin Federal Limited Term Tax Free	SP	\$100,001 - \$250,000	Tax-Deferred		
Franklin Tax Free Trust Interim Ad	SP	\$100,001 - \$250,000	Tax-Deferred		
Gilead Sciences, Inc. (GILD)	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$15,001 - \$50,000	None
Gilead Sciences, Inc. (GILD)		\$50,001 - \$100,000	Capital Gains, Dividends	\$15,001 - \$50,000	None
Google Inc. - Class A (GOOGL)		\$15,001 - \$50,000	None		
Google Inc. - Class A (GOOGL)	SP	\$50,001 - \$100,000	None		
Hyundai Motor Co Ltd Global Depositary Shares (HYMTF)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Hyundai Motor Co Ltd Ordinary Shares (HYMLF)	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
James D. Duncan Broker Managed IRA ⇒ Abbott Laboratories (ABT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ AbbVie Inc. (ABBV)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Ace Limited (ACE)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Amazon.com, Inc. (AMZN)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ American Tower Corporation (AMT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ AMETEK, Inc. (AME)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Anadarko Petroleum Corporation (APC)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Apache Corporation (APA)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Apple Inc. (AAPL)		\$100,001 - \$250,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ BB&T Corporation (BBT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Becton, Dickinson and Company (BDX)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Berkshire Hathaway Inc. (BRK.A)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ BlackRock, Inc. (BLK)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Bombardier Inc. Class B Shares (BDRBF)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ BorgWarner Inc. (BWA)		\$15,001 - \$50,000	Tax-Deferred		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
James D. Duncan Broker Managed IRA ⇒ Cabot Oil & Gas Corporation (COG)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ CareFusion Corporation (CFN)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Celgene Corporation (CELG)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Chevron Corporation (CVX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Chicago Bridge & Iron Company N.V. (CBI)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Church & Dwight Company, Inc. (CHD)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Comcast Corporation - Class A (CMCSA)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Costco Wholesale Corporation (COST)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Covidien plc. Ordinary Shares (COV)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Cummins Inc. (CMI)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ CVS Health Corporation (CVS)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Cytex Industries Inc. (CYT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Danaher Corporation (DHR)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Diageo plc (DEO)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ EMC Corporation (EMC)		\$15,001 - \$50,000	Tax-Deferred		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
James D. Duncan Broker Managed IRA ⇒ Emerson Electric Company (EMR)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ EOG Resources, Inc. (EOG)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Estee Lauder Companies, Inc. (EL)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Express Scripts Holding Company (ESRX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Exxon Mobil Corporation (XOM)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Fortinet, Inc. (FTNT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Franklin International Growth		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Franklin International Growth Fund		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Franklin International Small COS Growth		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Franklin Intern'l Small Growth		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Franklin Smal Cap Value FD		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Franklin US Government Securities		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Gilead Sciences, Inc. (GILD)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Google Inc. - Class A (GOOGL)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒		\$15,001 - \$50,000	Tax-Deferred		



<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
Google Inc. - Class C Capital Stock (GOOG)					
James D. Duncan Broker Managed IRA ⇒ Hyundai Motor Co Ltd Ordinary Shares (HYMLF)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ International Business Machines Corporation (IBM)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ iShares Intermediate Credit Fund (ETF)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Johnson & Johnson (JNJ)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ JP Morgan Chase & Co. (JPM)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Kraft Foods Group, Inc. (KRFT)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Lam Research Corporation (LRCX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Lowe's Companies, Inc. (LOW)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ McDonald's Corporation (MCD)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Mead Johnson Nutrition Company (MJN)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Medtronic plc. Ordinary Shares (MDT)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Microchip Technology Incorporated (MCHP)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Microsoft Corporation (MSFT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY)		\$50,001 - \$100,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
James D. Duncan Broker Managed IRA ⇒ Nike, Inc. (NKE)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Novo Nordisk A/S (NVO)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Oakridge Small Cap Growth		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Oracle Corporation (ORCL)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Pfizer, Inc. (PFE)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Plum Creek Timber Company, Inc. (PCL)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Polaris Industries Inc. (PII)		\$1,001 - \$15,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Praxair, Inc. (PX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ QUALCOMM Incorporated (QCOM)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Quintiles Transnational Holdings Inc. (Q)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Ralph Lauren Corporation (RL)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Red Hat, Inc. (RHT)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Regeneron Pharmaceuticals, Inc. (REGN)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Roche Holdings AG Basel Ordinary Shares (RHHVF)		\$15,001 - \$50,000	Tax-Deferred		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
James D. Duncan Broker Managed IRA ⇒ Rockwell Automation, Inc. (ROK)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Salesforce.com Inc (CRM)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Samsung Electronics Co Ltd Pfd Shares Non Voting (SSNNF)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Schlumberger N.V. (SLB)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Sherwin-Williams Company (SHW)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Signature Bank (SBNY)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Southwestern Energy Company (SWN)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Starbucks Corporation (SBUX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Starhub Ltd Ordinary Shares (SRHBF)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Swatch Group Ag (SWGAF)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ T. Rowe Price Group, Inc. (TROW)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Templeton Institutional Foreign Equity Fnd		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Teradata Corporation (TDC)		None	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ TJX Companies, Inc. (TJX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Trimble Navigation Limited (TRMB)		None	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
James D. Duncan Broker Managed IRA ⇒ Twitter, Inc. (TWTR)		\$1,001 - \$15,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Union Pacific Corporation (UNP)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ United Parcel Service, Inc. (UPS)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ United Technologies Corporation (UTX)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ UST Excelsior Absolute Return FND		\$1,001 - \$15,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ V.F. Corporation (VFC)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Vanguard FTSE Emerging Markets		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Vanguard Interim Government Bond		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Vanguard Short Term Govet Bond (ETF)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Vanguard Short Term Invest. Grade Fnd		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Verizon Communications Inc. (VZ)		\$15,001 - \$50,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Visa Inc. (V)		\$50,001 - \$100,000	Tax-Deferred		
James D. Duncan Broker Managed IRA ⇒ Whole Foods Market, Inc. (WFM)		\$1,001 - \$15,000	Tax-Deferred		
Johnson & Johnson (JNJ)	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
Johnson & Johnson (JNJ)		\$100,001 -	Capital Gains,	\$5,001 -	\$5,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
		\$250,000	Dividends	\$15,000	\$15,000
Lam Research Corporation (LRCX)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	None
Lowe's Companies, Inc. (LOW)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Lowe's Companies, Inc. (LOW)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
McDonald's Corporation (MCD)		None	None		
McDonald's Corporation (MCD)	SP	None	None		
Mead Johnson Nutrition Company (MJN)	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
Mead Johnson Nutrition Company (MJN)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Microchip Technology Incorporated (MCHP)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Microchip Technology Incorporated (MCHP)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
Microsoft Corporation (MSFT)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	None
Microsoft Corporation (MSFT)		\$15,001 - \$50,000	Dividends	\$1 - \$200	None
Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY)		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$1,001 - \$2,500
Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY)	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Novo Nordisk A/S (NVO)	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$1,001 - \$2,500
Novo Nordisk A/S B Shares (NONOF)		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$1,001 - \$2,500
Oracle Corporation (ORCL)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Oracle Corporation (ORCL)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Pfizer, Inc. (PFE)	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Pfizer, Inc. (PFE)		\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000	\$1,001 - \$2,500
Pioneer Oakridge Small Cap Growth Fd	SP	None	None		
Plum Creek Timber Company, Inc. (PCL)	SP	None	None		
Plum Creek Timber Company, Inc. (PCL)		None	None		
Praxair, Inc. (PX)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Praxair, Inc. (PX)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1,001 - \$2,500
Precision Castparts Corporation (PCP)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Precision Castparts Corporation (PCP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
QUALCOMM Incorporated (QCOM)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
QUALCOMM Incorporated (QCOM)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Ralph Lauren Corporation (RL)	SP	None	None		
Ralph Lauren Corporation (RL)		None	None		
Red Hat, Inc. (RHT)		\$15,001 - \$50,000	None		
Red Hat, Inc. (RHT)	SP	\$15,001 - \$50,000	None		
Regeneron Pharmaceuticals, Inc. (REGN)	SP	\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Rockwell Automation, Inc. (ROK)	SP	None	Capital Gains, Dividends	\$15,001 - \$50,000	\$201 - \$1,000
Rockwell Automation, Inc. (ROK)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
Salesforce.com Inc (CRM)		\$1,001 - \$15,000	None		
Salesforce.com Inc (CRM)		\$1,001 - \$15,000	None		
Salesforce.com Inc (CRM)	SP	\$15,001 - \$50,000	None		
Samsung Elec Co Ltd N-Vtg 144A (SSNGY)		None	None		
Samsung Electronics Co Ltd Pfd Shares Non Voting (SSNNF)	SP	None	None		
Schlumberger N.V. (SLB)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Signature Bank (SBNY)	SP	\$15,001 - \$50,000	None		
Signature Bank (SBNY)		\$15,001 - \$50,000	None		
Starbucks Corporation (SBUX)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Starbucks Corporation (SBUX)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Starhub Ltd Ordinary Shares (SRHBF)	SP	None	None		
Starhub Ltd Ordinary Shares (SRHBF)		None	None		
Swatch Group Ag (SWGAF)		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
Swatch Group Ag (SWGAF)	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
TJX Companies, Inc. (TJX)	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
TJX Companies, Inc. (TJX)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Trimble Navigation Limited (TRMB)		None	None		
Trimble Navigation Limited (TRMB)	SP	None	None		
Tristate Capital Bank DESCRIPTION: Tristate Capital Bank, Pittsburg PA, Checking		\$15,001 - \$50,000	None		
Union Pacific Corporation (UNP)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Union Pacific Corporation (UNP)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
United Parcel Service, Inc. (UPS)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
United Technologies Corporation (UTX)	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
United Technologies Corporation (UTX)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
V.F. Corporation (VFC)	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
V.F. Corporation (VFC)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Vanguard (FTSE) Emerging Market	SP	None	None		
Vanguard FTSE Emerging Markets ETF (VWO)		None	Capital Gains, Dividends	None	\$2,501 - \$5,000
Verizon Communications Inc. (VZ)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Whole Foods Market, Inc. (WFM)	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Whole Foods Market, Inc. (WFM)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Whole Life Policy ⇒ Northwestern Mutual (WL)		\$50,001 - \$100,000	None		



Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Whole Life Policy ⇒ Northwestern Mutual (WL)		\$15,001 - \$50,000	None		
Whole Life Policy ⇒ Northwestern Mutual (WL)		\$50,001 - \$100,000	None		

\* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
Board Member COMMENTS: This is a non-paid position	The Jessie Helms Foundation
Board Member COMMENTS: This is a non-paid position	Boys & Girls Club of Durham, NC

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

<ul style="list-style-type: none"><li>Elizabeth J. Duncan Broker Managed IRA (Owner: SP)</li><li>James D. Duncan Broker Managed IRA</li><li>Whole Life Policy</li></ul>
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EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not

be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

## **CERTIFICATION AND SIGNATURE**

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** James Duncan , 08/13/2015