AO 10 Rev. 1/2007

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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
Beaty Jr., James A	US District Court - 4th Cir.	06/19/2007
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**
Article III Judge	☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	01/01/2006 to 12/31/2006
7. Chambers or Office Address	**8.** On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.	
251 N. Main Street - Suite 248 Winston-Salem, N.C. 27101-3984	Reviewing Officer________ Date________	

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. Sign on last page.

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

☒ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

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FINANCIAL DISCLOSURE OFFICE

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of instructions.)*

☒ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Beaty Jr., James A	06/19/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2006	NC Judicial Retirement Vested Benefit	$ 29,570
2.		
3.		
4.		
5.		

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 AND TYPE
1. 2006	The Speech Center
2.	
3.	
4.	
5.	

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DESCRIPTION
1.	MultiDistrict Litigation	January 8-11, 2006 West Palm Beach, Florida (travel, food, lodging)
2.	Exe. Team Dev. and Chief Judge Conf.	April 24-28, 2006 - Washingrton, D.C. (travel, food, lodging)
3.	Ntl. Workshop for District Judges III	August 4-9, 2006 - Denver, CO (travel, food, lodging)
4.	Just The Beginning Foundation Conference	September 21-24, 2006 Cincinnati, OH (travel, lodging, food)
5.		

Name of Person Reporting	Date of Report
Beaty Jr., James A	06/19/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

[X] NONE *(No reportable gifts.)*

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

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*

[ ] NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	1. Equitable Life Insurance	Policy Loan	J
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Beaty Jr., James A	06/19/2007

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)*

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

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Wachovia Brokerage IRA	B	Dividend	K	T					
2. Citigroup									
3. Microsoft									
4. General Electric									
5. Omega Health Prop. Common									
6. Lithium Technology/Common									
7. Carolina Power & Light Common (Now Progress Energy)									
8. American Power Conversion Company									
9. Duke Energy, Common	A	Dividend	J	T					
10. Bank of America Investment Services, Inc. (IRA)	A	Dividend	M	T					
11. -Columbia Cash Reserve Daily									
12. -Federated Bond Class A									
13. -Federated American Leaders Class Mutual Fund									
14. -Federated Capital Appreciation Class A Mutual Fund									
15. -Federated INT'L Value Class A Mutual Fund									
16. -Federated Kaufman Class A									
17. -Fed. Strat. Val. Fund Class A Mut. Fund									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

Name of Person Reporting	Date of Report
Beaty Jr., James A	06/19/2007

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)*

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. CSX, Corp., Common	A	Dividend	J	T					
19. Exxon Mobil	A	Dividend	J	T					
20. Vanguard, 500 Mutual Fund	A	Dividend	J	T	Partial Exch	8/1	J	A	
21. Vanguard Healthcare Mutual Fund	A	Dividend	K	T					
22. Vanguard Emerging Mkt Fund	A	Dividend	J	T					
23. Vanguard European Fund	A	Dividend	J	T	Buy	8/1	J		
24. Bell South/A T & T	A	Dividend	J	T	Partial Sale	9/5	J	B	
25. Mutual of New York-Whole Life	A	Dividend	J	T	Donated	12/28	J	A	
26. Mutual of New York-Whole Life	A	Dividend	J	T					
27. Mutual of New York-Whole Life	A	Dividend	J	T					
28. Equitable Life-Whole Life	A	Dividend	K	T					
29. Equitable Variable Life-Whole Life	A	Dividend	J	T					
30. Equitable Variable-Alliance Common Stock Fund	A	Dividend	J	T					
31. State Farm Universal-Whole Life		None			Surrender	05/03	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

Name of Person Reporting	Date of Report
Beaty Jr., James A	06/19/2007

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

As previously noted, monthly contributions during the reporting period were made into Dividend Reinvestment Plans or Investor Plans in each of the following lists of securities or mutual funds: (9) Duke Energy Common, (18) CSX, (19) Exxon Mobil, (24) Bell South/A T & T, (20) Vanguard 500 Mutual Fund, (21) Vanguard Healthcare Mutual Fund, (22) Vanguard Emerging Market Fund and the newly acquired (23) Vanguard European Fund.

Items 2-7 were all held in Wachovia Brokerage IRA.

Amended Report:
Part VII, (10) Bank of America Investment Services, Inc. (IRA) formerly Nations Bank (IRA); Items 11-17 have been added and are all held in Bank of America Investment Services, Inc., IRA (10); (20) Vanguard 500, has been changed to reflect Partial Exchange, (24) Bell South, has been changed to reflect Partial Sale.

Name of Person Reporting	Date of Report
Beaty Jr., James A	06/19/2007

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.

Signa[redacted] Date June 19, 2007

NOT[redacted]AILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND[redacted](5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

AO 10 Rev. 1/2007	FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006	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) Beaty Jr., James A	2. Court or Organization US District Court - 4th Cir.	3. Date of Report 05/07/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address 251 N. Main Street - Suite 248 Winston-Salem, N.C. 27101-3984	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer__________ Date______	

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. Sign on last page.*

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

[X] NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

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II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of instructions.)*

[X] NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Beaty Jr., James A	05/07/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2006	NC Judicial Retirement Vested Benefit	$ 29,570
2.		
3.		
4.		
5.		

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 AND TYPE
1. 2006	The Speech Center
2.	
3.	
4.	
5.	

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DESCRIPTION
1.	MultiDistrict Litigation	January 8-11, 2006 West Palm Beach, Florida (travel, food, lodging)
2.	Exe. Team Dev. and Chief Judge Conf.	April 24-28, 2006 - Washingrton, D.C. (travel, food, lodging)
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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

[X] NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
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VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*

[ ] NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	1. Equitable Life Insurance	Policy Loan	J
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Beaty Jr., James A	05/07/2007

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)*

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1. Wachovia Brokerage IRA	B	Dividend	K	T					
2. Citigroup									
3. Microsoft									
4. General Electric									
5. Omega Health Prop. Common									
6. Lithium Technology/Common									
7. Carolina Power & Light Common (Now Progress Energy)									
8. American Power Conversion Company									
9. Duke Energy, Common	A	Dividend	J	T					
10. Nations Bank Securities IRA	A	Dividend	M	T					
11. CSX, Corp., Common	A	Dividend	J	T					
12. Exxon Mobil	A	Dividend	J	T					
13. Vanguard, 500 Mutual Fund	A	Dividend	J	T	Exchanged	8/1	J	A	
14. Vanguard Healthcare Mutual Fund	A	Dividend	K	T					
15. Vanguard Emerging Mkt Fund	A	Dividend	J	T					
16. Vanguard European Fund	A	Dividend	J	T	Buy	8/1	J		
17. Bell South/A T & T	A	Dividend	J	T	Sell	9/5	J	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	
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Name of Person Reporting	Date of Report
Beaty Jr., James A	05/07/2007

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18. Mutual of New York-Whole Life	A	Dividend	J	T	Donated	12/28	J	A	
19. Mutual of New York-Whole Life	A	Dividend	J	T					
20. Mutual of New York-Whole Life	A	Dividend	J	T					
21. Equitable Life-Whole Life	A	Dividend	K	T					
22. Equitable Variable Life-Whole Life	A	Dividend	J	T					
23. Equitable Variable-Alliance Common Stock Fund	A	Dividend	J	T					
24. State Farm Universal-Whole Life		None			Surrender	05/03	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
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Name of Person Reporting	Date of Report
Beaty Jr., James A	05/07/2007

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

As previously noted, monthly contributions during the reporting period were made into Dividend Reinvestment Plans or Investor Plans in each of the following lists of securities or mutual funds: (9) Duke Energy Common, (11) CSX, (12) Exxon Mobil, (17) Bell South/A T & T, (13) Vanguard 500 Mutual Fund, (14) Vanguard Healthcare Mutual Fund, (15) Vanguard Emerging Market Fund and the newly acquired (16) Vanguard European Fund.

Items 2-7 were all held in Wachovia Brokerage IRA.

Name of Person Reporting	Date of Report
Beaty Jr., James A	05/07/2007

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 [redacted] Date May 7, 2007

NOTE: ANY IN[redacted]O KNOWINGLY AND WILFUL[redacted]FIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544