

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Humrickhouse, Stephani W.	2. Court or Organization Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 08/31/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Court (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address Second Floor 300 Fayetteville Street Raleigh, NC 27601		
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board Member	Campbell University School of Law, Board of Visitors
2.	Board Member	North Carolina Museum of History Associates
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***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 AND TYPE
1. 2015	FMI Corp W-2
2. 2015	FMI Corp 1120S K-1
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bankruptcy Institute	3/8/2015 - 3/10/2015	New York, New York	Dubenstein Moot Court	Lodging, Meals, Travel
2. National Conference of Bankruptcy Judges	9/27/2015 - 9/30/2015	Miami Beach, Florida	Annual Bankruptcy Conference / Seminar	Lodging
3. North Carolina Bar Association	11/6/2015	Pinehurst, North Carolina	Annual Bankruptcy Institute	Lodging, meals
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Am. Equity Inv. Life Ins. Co. Flex. Prem. Deferred Ann	D	Dividend	M	T					
2. Fidelity Capital Appreciation Fund	A	Distribution	K	T					
3. FMI 401K	E	Int./Div.	P1	T					
4. --Black Rock Equity	B	Dividend	M	T	Sold (part)	06/30/15	J		
5.					Sold (part)	12/30/15	J		
6. --Eagle Small Cap Growth A	A	Dividend	K	T	Sold (part)	06/30/15	J		
7.					Buy	12/30/15	J		
8. --Hartford Int'l Opp R5	A	Dividend	L	T	Buy	06/30/15	J		
9.					Sold (part)	12/30/15	J		
10. --Mainstay Large Cap Growth Fund	B	Dividend	M	T	Sold (part)	06/30/15	K		
11.					Sold (part)	12/30/15	J		
12. --MFS International Value R4	A	Dividend	K	T	Sold (part)	06/30/15	J		
13.					Sold (part)	12/30/15	J		
14. --MFS Utilities/R4	B	Dividend			Sold (part)	06/30/15	J		
15.					Sold	12/30/15	K		
16. --Metropolitan West Total Return Bond	C	Int./Div.	L	T	Sold (part)	06/30/15	J		
17.					Sold (part)	12/30/15	J		

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	

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	(1) Amount Code I (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)	(5) Identity of buyer/seller (if private transaction)
18. --Principal Real Estate Securities Inst.	C	Dividend	L	T	Sold (part)	06/30/15	K		
19.					Sold (part)	12/30/15	K		
20. --Prudential Jennison Health Sciences	B	Dividend	M	T	Sold (part)	06/30/15	K		
21.					Sold (part)	12/30/15	J		
22. --TRowe Price Science and Tech/Adv	A	Dividend	M	T	Sold (part)	06/30/15	J		
23.					Sold (part)	12/30/15	J		
24. --Wells Fargo Stable Return Fund N/25	C	Interest	O	T	Buy	06/30/15	M		
25.					Buy	12/30/15	L		
26. Etrade	B	Dividend	L	T					
27. --1 Share S&P Midcap ETF (IJH)	A	Dividend	K	T					
28. --1 Share S&P Small Cap ETF (IJR)	A	Dividend	K	T					
29. --DIAX (mutual fund) (previously named DPD)	A	Dividend	J	T					
30. --Ford Motor (common)	A	Dividend	J	T					
31. --1 Shares US Energy ETF (IYE)	A	Dividend	J	T					
32. --SPDR S&P Small Capital Growth ETF	A	Dividend	J	T	Buy	12/31/15	J		
33. Vanguard Brokerage Acct	C	Int./Div.	N	T					
34. --Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T					

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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	
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35. --Vanguard Short Term Corp Bond Fund VCSH	B	Dividend			Sold	06/12/15	K		
36. --Vanguard Short Term Tax Exempt VWSTX	A	Dividend	K	T					
37. --Vanguard Prime Money Mkt Fund	A	Interest	M	T					
38. --Vanguard Large Capital ETF	A	Dividend	K	T	Buy	06/24/15	K		
39. Capital One Bank CD	B	Interest	M	T	Buy	08/19/15	M		
40. Fidelity Municipal Money Mkt (closed)	A	Interest			Sold	06/09/15	J		
41. Fisher/Morgan Stanley Man. Inv. Acct. (no control)	E	Dividend	O	T					
42. --i Shares MSCI Euro-zone ETF (EZU)	A	Dividend	K	T	Buy	09/10/15	K		
43. --i Shares Global Consumer STP ETF (KXI)	A	Dividend	K	T	Buy	09/10/15	J		
44. --SPDR Senes Trust High Yield ETF (JNK)	A	Dividend	K	T	Buy	12/18/15	K		
45. --FBGX	A	Dividend	K	T					
46. --FEEU	A	Dividend	J	T					
47. --FIGY	A	Dividend	J	T					
48. --HYG (ETF)	A	Dividend			Sold (part)	06/11/15	J		
49.					Buy	08/17/15	J		
50.					Sold	12/18/15	K		
51. --IXN (ETF)	A	Dividend	K	T					

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52. --JP Morgan Municipal Fund (now called Morgan Stanley Money Market)	A	Interest	J	T					
53. --LQD (ETF)	C	Dividend	L	T	Sold (part)	06/11/15	K		
54.					Buy	08/17/15	J		
55. --MBB (ETF)	A	Dividend	K	T	Sold (part)	06/11/15	J		
56.					Buy	08/17/15	J		
57. --QQQ (ETF)	A	Dividend	K	T	Buy	06/12/15	J		
58.					Sold (part)	08/17/15	J		
59. --SCP (ETF)	A	Dividend	K	T	Sold (part)	06/11/15	J		
60.					Buy	08/17/15	J		
61. --TFI (ETF)	A	Dividend	K	T	Sold (part)	06/12/15	K		
62.					Buy	08/17/15	J		
63. --XLG (ETF)	A	Dividend	K	T	Buy	06/12/15	J		
64.					Sold (part)	08/17/15	J		
65. --XLF (ETF)	B	Dividend	L	T	Buy	06/12/15	J		
66.					Sold (part)	08/17/15	J		
67.					Buy	11/16/15	J		
68. --XLV (ETF)	A	Dividend	K	T	Buy	06/12/15	J		

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69. --XLY (ETF)	A	Dividend	K	T	Sold (part)	09/10/15	J		
70. --VEA	A	Dividend			Sold	09/10/15	K		
71. --VGK	A	Dividend	K	T	Buy	06/12/15	J		
72.					Sold (part)	08/17/15	J		
73. --VIS	A	Dividend	J	T					
74. Scott & Stringfellow IRA -Managed Account	D	Dividend	O	T					
75. --BP Capital Twin MLP Fund (BPMCX)	A	Dividend	K	T	Buy	03/24/15	K		
76. --BAEIX (mutual fund)	D	Dividend	O	T	Sold (part)	03/24/15	K		
77. --Federated Treasury Fund (cash acct)	A	Interest	J	T					
78. Merrill Lynch Wealth Management - CMA	D	Int./Div.	N	T					
79. --ALLEGHENY TECH (ATI)	A	Dividend			Sold (part)	05/18/15	J		
80.					Sold	12/23/15	J	A	
81. --AmbevSA (ABEV) (Merger with ABV 11/21/13)	A	Dividend			Sold	09/12/14	J		
82. --ALLSTATE CORP. Preferred Stock ALLPRA	A	Dividend	K	T					
83. --BLACKROCK RE (BCX)	A	Dividend			Sold	12/23/15	J		
84. --Clearbridge (CEM)		None			Sold	12/23/15	J		
85. --Cohen and Steers (RQI)	A	Dividend	J	T					

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86. --Community Health Systems CYH		None	J	T	Buy	03/04/15	J		
87.					Buy	12/23/15	J		
88. --Conoco Phillips	A	Dividend	J	T	Buy	12/23/15	J		
89. --Eli Lilly (LLY)	A	Dividend	K	T					
90. --Exxon Mobile	A	Dividend	J	T	Buy	12/23/15	J		
91. --FCT	A	Dividend	J	T					
92. --Merrill Lynch (FIA Card Services) Bank Deposit Program (cash)	A	Int./Div.	L	T					
93. --First Niagara (FNYG)	A	Dividend	J	T					
94. --HAL	A	Dividend			Sold	04/21/15	J		
95. --HOLX		None	J	T	Sold (part)	03/14/15	J	B	
96. --MASCO (MAS)	A	Dividend	K	T	Sold (part)	03/14/15	J	B	
97. --Merck (MRK)	A	Dividend	K	T					
98. --Nuveen Float Rate JFR	A	Dividend	J	T	Buy	03/13/15	K		
99. --Nuveen Ins. (NEA)	A	Dividend	J	T					
100. --OXY	A	Dividend			Sold	12/23/15	J		
101. --Partnerre Ltd (PREPRF)	A	Dividend			Sold	03/04/15	K	B	
102. --Powershares Variable Rate CVRP	A	Dividend	J	T	Buy	12/23/15	J		

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103. -Topbuild (Masco spinoff - see notes)		None	J	T					
104. -Tortoise Energy (NDP)	A	Dividend			Sold	04/21/15	J		
105. --WOOF		None	K	T					
106. Merrill Lynch Wealth Management - IRA	C	Int./Div.	N	T					
107. -Alger Spectra (ASPZX)		None	K	T					
108. -Bank of America, NA, RAST (FIA Card Svc Cash (11AXX))	A	Int./Div.	L	T					
109. -BLACK ROCK CREDIT (BCX)	A	Dividend	J	T					
110. -BLACK ROCK CREDIT (BTZ)	A	Dividend	J	T					
111. -BP PLC ADR (BP)	A	Dividend			Sold	03/14/15	J		
112. -Clearbridge Energy (CEM)	A	Dividend	J	T					
113. -Cohen and Steers (RQI)	A	Dividend	J	T					
114. -Conoco Phillips	A	Dividend	J	T	Buy	12/23/15	J		
115. --CRC	A	Dividend			Sold	03/14/15	J		
116. -Exxon Mobile	A	Dividend	J	T	Buy	12/23/15	J		
117. -First Eagle (SG11X)	A	Dividend	K	T					
118. -KKR	A	Dividend	J	T	Buy	05/26/15	J		
119. -INVESCO (VVR)	A	Dividend	J	T					

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	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. -IVY ASSET (IVAEX)	A	Dividend			Sold	12/24/15	K		
121. Highland Global	A	Dividend	J	T	Buy	03/04/15	J		
122. -MERCK (MRK)	A	Dividend	K	T					
123. -Morgan Stanley Emerging (EDD)	B	Dividend	J	T					
124. -Oppenheimer Dev (ODVYX)	A	Dividend	J	T					
125. -Oppenheimer Int'l (OXIGYX)	A	Dividend	K	T					
126. -OXY	A	Dividend			Sold	12/23/15	J		
127. -Tortoise Energy (NDP)	A	Dividend			Sold	04/24/15	K		
128. Edwards Jones IRA	B	Distribution	K	T					
129. --Invesco Global 45 Div. Strategy Unit Trust	A	Dividend	J	T	Buy	01/16/15	J		
130. -Conoco Phillips	A	Dividend	J	T					
131. -Johnson & Johnson	A	Dividend	J	T					
132. -McDonalds	A	Dividend			Sold	01/16/15	J		
133. -Phillip Morris	A	Dividend			Sold	01/16/15	J		
134. Edward Jones Portfolio	B	Int./Div.	M	T					
135. -American Funds TAIAAX	B	Dividend	K	T					
136. -Goldman Sachs CD	A	Interest	J	T					

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	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -NC Med Care Comm Health Bond	C	Interest	K	T					
138. -Prudential Prem. Ref. Contract	C	Dividend	L	T					
139. -Raleigh Durham Airport Bond	B	Interest	K	T					
140. -Lincoln Life Ins.	A	Dividend	L	T					
141. Durham Arvin Partnership		None	K	W					
142. FMI Corp. Stock	G	Distribution	N	U					
143. GP Land, LLC	A	Interest	M	U					
144. Nationwide Insurance		None	J	T					
145. North State Bank Acct	A	Interest	J	T					
146. Bank of America Bank Account	A	Interest	J	T					
147. Equitable Life Insurance (cash value)	A	Dividend	K	T					
148.									

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	

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

Part II. Agreements

All monies due under the Compensation Agreement with Nicholls & Crampton, P.A. have been paid and there remain no obligations due by either party thereunder.

Part VII. Investments and Trusts

Line 81 - Sale occurred during 2014, but was omitted from the 2014 report in error, largely due to name change of holding.

Line 92 - Merrill Lynch Bank Deposit Program was formerly reported as FIA Card Services (cash) and is identified in parenthesis.

Line 103 - On July 1, 2015, Masco (MAS), pursuant to a tax free transaction, spun off TopBuild. I received 1 share of TopBuild for every 9 shares of Masco I owned. The transaction did not affect the amount of Masco stock, but resulted in my ownership of TopBuild without a "Buy."

Line 108 - Bank of America, NA, RAST was formerly reported as FIA Card Services Cash (11AXX) and is identified in parenthesis.

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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/ Stephani W. Humrickhouse**

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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