

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Whitley, James C.	2. Court or Organization Bankruptcy Court-WDNC	3. Date of Report 08/07/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Charles R. Jonas Federal Bldg. 401 W. Trade Street 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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trustee #1
2.	Executor*	Estate #1
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Whitley, James C.

Date of Report

08/07/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Self-employed attorney
2.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. North Carolina Bar Association	11/17/2016 - 11/18/2016	New Bern, North Carolina	Attend State Bankruptcy Seminar	Meals, hotel, and transportation.
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Whitley, James C.

Date of Report

08/07/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Whitley, James C.

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08/07/2017

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. CBF Agg Growth Fund	B	Dividend	K	T					
2. CBF Agg Growth Fund	B	Dividend	K	T					
3. ClearBridge Small Cap Fund f/k/a ClearBridge Sp. Inv. Tr. Class C	A	Dividend	K	T					
4. American Funds New Perspective Mutual Fund	D	Dividend	M	T					
5. American Funds Washington Mutual Funds	D	Dividend	M	T					
6. [REDACTED]	F	Distribution	K	W					
7. RBC Money Market Sweep Account	A	Interest	K	T	Distributed (part)	01/14/16	J		
8. RBC Money Market Sweep Account	A	Interest	K	T	Distributed (part)	01/14/16	J		
9. Belmont Federal Savings & Loan Account	A	Interest	K	T					
10. American Funds Templeton Dev Mkt Foreign Mutual Fund	A	Dividend	J	T					
11. American Funds Washington Mutual Funds	B	Dividend	K	T					
12. American Funds Growth Fund of America Mutual Fund	D	Dividend	M	T					
13. American Funds New Perspective Mutual Fund	A	Dividend	J	T					
14. Royce Total Return Fund, a/k/a/ Royce FD	D	Dividend	L	T	Buy	01/11/16	L		
15. Europac Growth Fund	A	Dividend	K	T					
16. Invesco Am Fr Fund Class A	B	Dividend	K	T					
17. Wells Fargo f/k/a Wachovia Bank Various Accounts	A	Interest	L	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Whitley, James C.

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☐ 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 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. American Funds Money Market Fund	A	Dividend	L	T					
19. American Funds U.S. Government Money Market Fund	A	Dividend	L	T					
20. Invesco AIM Investments European Growth Fund Class A (X)	A	Dividend	J	T					
21. American Funds Investment Co of America Class A (X)	B	Dividend	L	T					
22. Goldman Sachs Bank CD (X)	A	Interest	J	T					
23. Union Bank NA CD	A	Interest	K	T					
24. Estate 1:									
25. Belmont Federal Various Accounts	A	Interest			Distributed	12/16/16	L		
26. Spectra Energy	A	Dividend			Sold	12/10/16	J		
27. TRUST 1:									
28. Residential Lot #1, Gaston County, NC		None	M	W					
29. Residential Lot #2, Gaston County, NC		None	K	W					
30. Residential Lot #3, Gaston County, NC		None	K	W					
31. Residential Lot #4, Gaston County, NC		None	J	W					
32. Residential Lot #5, Gaston County, NC		None	J	W					
33. Residential Lot #6, Gaston County, NC		None	J	W					
34. Residential Lot #7 (1/2 Interest) Gaston County, NC		None	K	W					

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Whitley, James C.

Date of Report

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	(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)
35. Residential Lot #8 (1/2 Interest) Gaston County, NC		None	J	W					
36. Residential Lot #9 (1/2 Interest) Gaston County, NC		None	J	W					
37. Residential Lot #10 (1/2 Interest) Gaston County, NC		None	J	W					
38. Residential Lot #11 (1/2 Interest) Gaston County, NC		None	J	W					
39. Residential Lot #12 (1/2 Interest) Gaston County, NC		None	J	W					
40. Belmont Federal Various Accounts	A	Interest	L	T					
41. RBC Money Market Sweep Acct	A	Interest			Distributed	10/01/16	L		

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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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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Whitley, James C.

Date of Report

08/07/2017

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

Part I, No. 2 and Part VII, No. 27-29 - Decedant's estate closed 12/16/16. All funds distributed to beneficiaries and executor discharged.
Part VII. RBC Sweep Account deleted to correct error in 2015. Duplicate

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Whitley, James C.

Date of Report

08/07/2017

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/ James C. Whitley**

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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