

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 08/07/2014
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 01/01/2013 to 12/31/2013
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. Insert signature on last page.		

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

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2005	Compensation Agreement with Nicholls & Crampton, P.A. (former law firm compensation agreement for work performed prior to my taking the bench)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Nicholls & Crampton, P.A. (1099)	\$35,030.24
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. 2013	FMI Corp W-2
2. 2013	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bankruptcy Institute	04/19/13 -04/20/13	National Harbor, MD	American Bankruptcy Institute	Lodging, meals, transportation
2. Eastern Bankruptcy Institute	05/30/13 - 06/01/13	Myrtle Beach, SC	Bankruptcy Seminar	Lodging
3. National Conference of Bankruptcy Judges	10/29/13 - 11/01/13	Atlanta, GA	Annual Conference/ Seminar	Lodging
4. North Carolina Bar Association	11/21/13 - 11/22/13	Wilmington, NC	Annual Bankruptcy Institute	Lodging, meals
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.	FMI Corp.	Stock Purchase	K
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. Allianz Small Cap Value ADM Fund	A	Dividend			Sold	03/11/13	M		
2. Am. Equity Inv. Life Ins. Co. Flex. Prem. Deferred Ann	A	Dividend	M	T					
3. Artisan Midcap Value	A	Dividend			Sold	03/01/13	J		
4. Baron Growth Fund	A	Dividend			Sold	02/27/13	J		
5. Black Rock Equity	A	Dividend	M	T					
6. Columbia Marsico Growth Fund, Class A	A	Dividend			Sold	03/01/13	J		
7. Columbia Seligman Communication and Info Fund	A	Dividend	M	T	Buy	03/11/13	M		
8. Davis NY Venture Fund, Class Y	A	Dividend			Sold	03/01/13	J		
9. Eagle Small Cap Growth A	A	Dividend	K	T	Buy	03/01/13	J		
10. Fidelity Capital Appreciation Fund	A	Dividend	K	T					
11. Goldman Sachs Midcap	A	Dividend			Sold	03/11/13	L		
12. Hartford Int'l Opp R5	A	Dividend	K	T	Buy	03/01/13	J		
13. Ivy Midcap	A	Dividend			Sold	03/01/13	J		
14. Lazard Emerging Markets Fund	A	Dividend			Sold	02/27/13	J		
15. Mainstay Large Cap Growth Fund	A	Dividend	M	T					
16. MFS Utilities/A	A	Dividend	K	T	Buy	03/01/13	J		
17. PIMCO Total Return/ADM	A	Dividend	M	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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18. Principal Real Estate Securities Inst.	A	Dividend	M	T	Buy	03/01/13	M		
19. Prudential Jennison Health Sciences	A	Dividend	M	T	Buy	03/01/13	M		
20. Royce Total Return Fund	A	Dividend			Sold	03/01/13	J		
21. Thornburg International Value R/3 Fund	A	Dividend	K	T					
22. Wells Fargo Equity Index Fund	A	Dividend			Sold	03/01/13	J		
23. Wells Fargo Stable Return (cash acct)	A	Dividend	N	T	Buy	03/11/13	M		
24. William Blair International Growth Fund	A	Dividend			Sold	03/01/13	J		
25. Etrade	B	Dividend	M	T					
26. --1 Share S&P Midcap ETF (IJH)	A	Dividend	K	T	Buy	01/02/13	K		
27. -BIV (mutual fund)	A	Dividend			Sold	07/31/13	J		
28. --1 Share S&P Small Cap ETF (IJR)	A	Dividend	K	T	Buy	01/02/13	K		
29. -Corning Inc. (common)	A	Dividend			Sold	07/22/13	J	D	
30. --1 Share MSC1Mexico Capt ETF (EWW)	A	Dividend	K	T	Buy	02/19/13	K		
31. -DPD (mutual fund)	A	Dividend	J	T					
32. -Ford Motor (common)	A	Dividend	J	T					
33. -GRZG	A	Dividend			Buy	02/25/13	J		
34.					Sold	07/15/13	J		

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35. -I Shares US Energy ETF (IYE)	A	Dividend	K	T	Buy	02/19/13	K		
36. -JP Morgan Municipal Fund (cash acct)	A	Interest	J	T					
37. -NOK	A	Dividend			Buy	07/31/13	J		
38.					Sold (part)	09/26/13	J	B	
39.					Sold	10/14/13	J	B	
40. -SWVI	A	Dividend			Buy	02/28/13	J		
41.					Sold	07/09/13	J		
42. Vanguard Brokerage Acct	A	Dividend	M	T					
43. -Caterpillar, Inc. (common)	A	Dividend	J	T	Sold (part)	05/20/13	J	C	
44.					Sold (part)	10/7/13	J	C	
45. -Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T	Buy	12/20/12			
46. -Ford Motor Co. (common)	A	Dividend	J	T	Sold (part)	10/07/13	J	C	
47. -Vanguard Short Term Corp Bond Fund VCSH	A	Dividend	K	T	Buy	12/20/12			
48. -Vanguard Short Term Tax Exempt Bond Fund (Admirals) VWSUX	C	Dividend			Closed	11/26/13	J		
49. -Vanguard Short Term Tax Exempt VWSTX	C	Dividend	J	T	Buy	11/26/13	J		
50. -Vanguard Prime Money Mkt Fund	A	Dividend	K	T					
51. -VMMXX (money market acct)	A	Dividend	J	T					

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52. -VWSUX	A	Dividend			Buy	02/12/13	K		
53.					Sold (part)	02/25/13	M		
54.					Sold (part)	08/01/13	J		
55.					Sold	11/16/13	J		
56. Fidelity Municipal Money Mkt	A	Interest	K	T					
57. Fisher/Morgan Stanley Man. Inv. Acct. (no control)	E	Dividend	O	T					
58. -EFA (ETF)	A	Dividend			Sold (part)	06/20/13	J	A	
59.					Sold	07/31/13	K	D	
60. -FBG (ETF)	A	Dividend	J	T					
61. -FEEU	A	Dividend	J	T	Buy	06/04/13	J		
62.					Buy	08/27/13	J		
63. -FIGY	A	Dividend	J	T	Buy	05/24/13	J		
64. -HYG (ETF)	A	Dividend	K	T	Buy	08/12/13	J		
65. -IXP (ETF)	A	Dividend			Sold	07/31/13	J	A	
66. -IXN (ETF)	A	Dividend	K	T	Sold (part)	10/23/13	J	B	
67. -IXC (ETF)	A	Dividend			Sold	06/14/13	J	A	
68. -KXI (ETF)	A	Dividend			Sold (part)	08/27/13	K	B	

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69.					Sold (part)	09/16/13	J	B	
70.					Sold	10/23/13	J	B	
71. -LQD (ETF)	A	Dividend	M	T					
72. -MBB (ETF)	A	Dividend	K	T	Buy	10/30/13	J		
73. -MXI (ETF)	A	Dividend			Sold	08/27/13	J	A	
74. -QQQ (ETF)	A	Dividend	K	T					
75. -SCPB (ETF)	A	Dividend	K	T	Buy	06/20/13	J		
76. -TFI (ETF)	A	Dividend	L	T	Buy	06/18/13	J		
77.					Buy	12/11/13	J		
78. -XLG (ETF)	A	Dividend	K	T					
79. -XLF (ETF)	A	Dividend	K	T	Buy	06/04/13	J		
80.					Buy	07/31/13	J		
81.					Buy	08/27/13	J		
82.					Buy	09/16/13	J		
83.					Buy	10/23/13	J		
84. -XLV (ETF)	A	Dividend	K	T	Sold (part)	10/23/13	J	B	
85. -XLY (ETF)	A	Dividend	K	T					

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86. -VEA	A	Dividend	J	T	Buy	07/31/13	J		
87. -VGK	A	Dividend	K	T	Buy	07/31/13	K		
88.					Buy	08/27/13	J		
89.					Buy	10/23/13	J		
90. -VIS	A	Dividend	J	T	Buy	09/16/13	J		
91.					Buy	10/23/13	J		
92. -VWO (ETF)	A	Dividend			Sold	06/04/13	J	A	
93. Scott & Stringfellow IRA -Managed Account	C	Dividend	O	T					
94. -ABBV	A	Dividend	J	T	Buy	02/27/13	J		
95. -ABT	A	Dividend	J	T	Buy	02/27/13	J		
96.					Buy	09/30/13	J		
97. -ACN	A	Dividend	K	T	Buy	09/27/13	J		
98.					Buy	09/30/13	J		
99.					Buy	10/08/13	J		
100. -BAM	A	Dividend			Sold	02/27/13	K	D	
101. -BAX	A	Dividend	K	T	Buy	02/27/13	K		
102.					Buy	12/12/13	K		

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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103. -BLK	A	Dividend	J	T	Buy	02/27/13	K		
104.					Sold (part)	03/14/13	J	A	
105.					Sold (part)	04/25/13	J	A	
106.					Sold (part)	04/30/13	J	A	
107.					Sold (part)	05/17/13	J	A	
108.					Sold (part)	10/18/13	J	A	
109. -BRK/B	A	Dividend			Sold	02/27/13	L	E	
110. -CNQ	A	Dividend			Sold	02/27/13	K		
111. -CSCO	A	Dividend			Sold	02/27/13	J	B	
112. -CVX	A	Dividend	K	T	Buy	02/27/13	K		
113. -CWGL	A	Dividend			Buy	02/27/13	J		
114.					Sold	02/27/13	J	B	
115. -EMR	A	Dividend			Buy	02/27/13	K		
116.					Sold (part)	07/22/13	J	A	
117.					Sold (part)	08/08/13	J	A	
118.					Sold	08/14/13	J	A	
119. -ESV	A	Dividend	K	T	Buy	04/17/13	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 \$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	

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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

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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. -Federated Treasury Fund (cash acct)	A	Dividend	K	T					
121. -FRFHF	A	Dividend			Sold	02/27/13	K		
122. -FUR	A	Dividend			Sold	02/27/13	K	A	
123. -GIS	A	Dividend	K	T	Buy	02/27/13	K		
124. -GOOG	A	Dividend			Sold	02/27/13	K	D	
125. -IBM	A	Dividend			Sold	02/27/13	K	C	
126. -INT	A	Dividend			Sold	02/27/13	J	A	
127. -INTC	A	Dividend	K	T	Buy	02/27/13	K		
128.					Sold (part)	12/12/13	J	A	
129.					Sold (part)	12/27/13	J	A	
130. -JEF	A	Dividend			Sold	02/27/13	K	B	
131. -JNJ	B	Dividend			Sold	02/27/13	K	D	
132. -KO	A	Dividend	J	T	Buy	08/14/13	J		
133. -KM1	A	Dividend	K	T	Buy	09/12/13	J		
134.					Buy	12/04/13	J		
135. -KMR	A	Dividend	J	T	Buy	02/27/13	K		
136.					Sold (part)	12/4/13	J		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

08/07/2014

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. -L	A	Dividend			Sold	02/27/13	K	A	
138. -LUK	A	Dividend			Sold	02/27/13	K	D	
139. -MCD	A	Dividend	K	T	Buy	02/27/13	K		
140. -MET	A	Dividend	K	T	Buy	02/27/13	K		
141.					Sold (part)	10/18/13	J	B	
142. -MHK		None			Sold	02/27/13	K	D	
143. -MSFT	A	Dividend	J	T	Sold (part)	02/27/13	J		
144.					Sold (part)	05/07/13	J	B	
145.					Sold (part)	07/11/13	J	A	
146.					Sold (part)	11/15/13	J	A	
147. -MXIM	A	Dividend	K	T	Buy	05/29/13	J		
148.					Buy	06/05/13	J		
149.					Buy	06/06/13	J		
150.					Buy	07/26/13	J		
151.					Buy	12/19/13	J		
152. -NVS	A	Dividend	K	T	Buy	02/27/13	K		
153. -OMC	A	Dividend	K	T	Buy	02/27/13	K		

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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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

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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)
154. -OXY	A	Dividend	K	T	Buy	02/27/13	J		
155. -PFE	A	Dividend	K	T	Buy	02/27/13	K		
156. -PEP	A	Dividend	K	T	Buy	02/27/13	K		
157.					Sold (part)	04/25/13	J	A	
158. -PG	A	Dividend			Sold	02/27/13	K	D	
159. -PM	A	Dividend	J	T	Buy	02/27/13	J		
160. -POT	A	Dividend			Buy	02/27/13	J		
161.					Buy	04/12/13	J		
162.					Sold	09/18/13	J		
163. -PSO	A	Dividend	J	T	Buy	02/27/13	J		
164.					Sold (part)	07/26/13	J	A	
165. -QCOM	A	Dividend	K	T	Buy	04/25/13	J		
166.					Buy	04/26/13	J		
167.					Buy	06/06/13	J		
168.					Buy	06/07/13	J		
169. -RC1	A	Dividend	K	T	Buy	07/31/13	J		
170.					Buy	08/08/13	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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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

08/07/2014

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)
171.					Buy	08/21/13	J		
172. -SE	A	Dividend	K	T	Buy	02/27/13	K		
173.					Sold (part)	10/18/13	J	A	
174. -SO		Dividend			Buy	02/27/13	J		
175.					Sold	04/20/13	J		
176. -STWD	B	Dividend			Sold	02/27/13	K	D	
177. -TGT	A	Dividend	K	T	Buy	02/27/13	K		
178. -TRV	A	Dividend	K	T	Buy	02/27/13	K		
179. -TSCDY	B	Dividend			Sold	02/27/13	K	B	
180. -TWC	A	Dividend			Buy	02/27/13	K		
181.					Sold (part)	07/09/13	J	A	
182.					Sold (part)	08/01/13	J	A	
183.					Sold (part)	10/31/13	J	A	
184.					Sold	12/12/13	J	A	
185. -UL	A	Dividend	K	T	Buy	02/27/13	K		
186. -UPS	A	Dividend	K	T	Buy	02/27/13	J		
187. -VRX		None			Sold	02/27/13	K	D	

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

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Name of Person Reporting

Humrickhouse, Stephani W.

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08/07/2014

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)
188. -WLP	A	Dividend	K	T	Buy	02/27/13	J		
189. -WMT	B	Dividend			Sold	02/27/13	K	D	
190. -Y	A	Dividend			Sold	02/27/13	K		
191. Merrill Lynch Wealth Management - CMA	B	Int./Div.	N	T					
192. -Advanced Micro D (AMD')	A	Dividend			Buy	09/25/13	J		
193.					Sold	11/25/13	J		
194. -AAPL ARN (MLGYK)	A	Dividend	K	T	Buy	05/16/13	K		
195. -ALLEGHENY TECH (ATI)	A	Dividend	J	T	Buy	11/25/13	J		
196. -AmbevSA (ABEV) (Merger with ABV 11/21/13)	A	Dividend	J	T	Buy	05/21/13	J		
197. -ALLSTATE (ALLPRA) (originally (ALLSL))	A	Dividend	J	T	Buy	06/05/13	K		
198.					Sold	08/21/13	J		
199.					Buy	09/25/13	J		
200. -BLACKROCK RE (BCF)	B	Dividend	K	T	Buy	02/28/13	J		
201.					Buy	05/07/13	J		
202.					Buy	08/21/13	J		
203. -Clearbridge (CEM)	A	Dividend	J	T	Buy	06/07/13	J		
204. -CITIGROUP (CITGL) (changed symbol to (CPRC))	A	Dividend	J	T	Buy	03/20/13	K		

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	

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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

08/07/2014

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)
205.					Buy	08/21/13	J		
206.					Sold (part)	09/25/13	J		
207. -Cohen and Steers (RQI)	A	Dividend	J	T	Buy	06/11/13	J		
208. -Comp de Bebidas (ABV) (merger and split with (ABEV))					Buy	05/21/13	J		
209.					Sold	11/21/13	J		
210. -Devon Energy (DVN)	A	Dividend			Buy	02/28/13	K		
211.					Sold (part)	03/04/13	J	A	
212.					Sold (part)	03/04/13	J	A	
213.					Sold (part)	05/07/13	J	A	
214.					Sold (part)	07/17/13	J	A	
215.					Sold (part)	07/23/13	J	A	
216.					Sold (part)	08/21/13	J		
217.					Sold (part)	08/21/13	J		
218.					Sold (part)	09/23/13	J	A	
219.					Sold	10/21/13	J	B	
220. -Eli Lilly (LLY)	A	Dividend	J	T	Buy	07/17/13	J		
221. -FIA Card Services (cash)	A	Int./Div.	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 \$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	

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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

08/07/2014

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)
222. -First Niagara (FNFG)	A	Dividend	J	T	Buy	02/28/13	J		
223. -Gamco Globl (GGN)	A	Dividend			Buy	02/28/13	J		
224.					Buy	05/07/13	J		
225.					Sold	08/21/13	J		
226. -INVESCO (VVR)	A	Dividend	J	T	Buy	02/28/13	K		
227. -JP Morgan (JPMPRD)	A	Dividend	J	T	Buy	02/28/13	K		
228.					Sold	08/21/13	J		
229.					Buy	09/25/13	J		
230. -MASCO (MAS)	A	Dividend			Buy	02/28/13	K		
231.					Sold (part)	03/04/13	J	A	
232.					Sold (part)	03/04/13	J	A	
233.					Sold (part)	05/07/13	J	A	
234.					Sold (part)	07/23/13	J	A	
235.					Sold (part)	07/23/13	J	A	
236.					Sold (part)	08/21/13	J	A	
237.					Sold (part)	09/25/13	J	A	
238.					Sold (part)	10/25/13	J	A	

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Humrickhouse, Stephani W.

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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)

239.					Sold	11/25/13	J		
240. -Merck (MRK)	A	Dividend	K	T	Buy	6/11/13	K		
241. -Morgan Stanley (EDD)	B	Dividend	J	T	Buy	02/28/13	K		
242. -Nuveen Ins. (NEA)	B	Dividend	J	T	Buy	06/21/13	J		
243. -Orexigen Therap (OREX)	A	Dividend	J	T	Buy	10/25/13	J		
244.					Sold (part)	10/25/13	J	B	
245. -Partnerre Ltd (PREPRF)	A	Dividend	J	T	Buy	02/28/13	J		
246.					Buy	08/21/13	J		
247.					Sold (part)	09/25/13	J		
248. -Tortoise Energy (NDP)	A	Dividend	J	T	Buy	10/25/13	J		
249. -US Airways (LLC)	A	Dividend			Buy	02/28/13	J		
250.					Sold (part)	03/04/13	J		
251.					Sold (part)	03/04/13	J		
252.					Sold (part)	03/04/13	J		
253.					Sold (part)	04/17/13	J	A	
254.					Sold (part)	04/22/13	J	A	
255.					Sold	06/24/13	J	B	

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	

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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

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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)

256. Merrill Lynch Wealth Management - IRA	C	Int./Div.	N	T					
257. -Alger Spectra (ASPZX)	B	Dividend	K	T	Buy	03/19/13	J		
258.					Buy	04/03/13	J		
259.					Buy	04/15/13	J		
260.					Buy	04/15/13	J		
261.					Buy	04/17/13	J		
262. -Avago (AVGO)	A	Dividend			Buy	07/09/13	K		
263.					Sold (part)	07/17/13	J		
264.					Sold (part)	07/17/13	J		
265.					Sold (part)	08/21/13	J	A	
266.					Sold (part)	10/21/13	J	A	
267.					Sold	10/21/13	J	B	
268. -BLACK ROCK CREDIT (BCF)	A	Dividend	J	T	Buy	12/23/13	J		
269. -BLACK ROCK CREDIT (BTZ)	A	Dividend	J	T	Buy	06/21/13	J		
270. -BP PLC ADR (BP)	A	Dividend	K	T	Buy	05/07/13	J		
271. -Clearbridge Energy (CEM)	A	Dividend	J	T	Buy	06/07/13	J		
272. -Cohen and Steers (RQI)	A	Dividend	J	T	Buy	06/11/13	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 \$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	

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Name of Person Reporting

Humrickhouse, Stephani W.

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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)
273.					Buy	12/31/13	J		
274. -Delta Airlines (DAL)	A	Dividend			Buy	04/02/13	K		
275.					Sold (part)	04/02/13	J		
276.					Sold	06/24/13	K	B	
277. -FIA Card Svc Cash (11AXX)	A	Int./Div.	J	T					
278. -First Eagle (SG11X)	B	Dividend	K	T	Buy	03/19/13	J		
279.					Buy	04/03/13	J		
280.					Buy	04/05/13	J		
281.					Buy	04/15/13	J		
282.					Buy	04/17/13	J		
283.					Buy	07/17/13	J		
284. -Ford Motor (F)	A	Dividend	J	T	Buy	03/14/13	J		
285.					Sold (part)	07/17/13	J	A	
286.					Sold (part)	07/17/13	J	A	
287.					Sold (part)	08/21/13	J	A	
288.					Sold (part)	09/23/13	J	B	
289.					Sold (part)	10/25/13	J	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 \$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	

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Name of Person Reporting

Humrickhouse, Stephani W.

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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)
290. -INVESCO (VVR)	A	Dividend	K	T	Buy	05/07/13	K		
291. -IVY ASSET (IVAEX)	A	Dividend	K	T	Buy	03/19/13	J		
292.					Buy	04/03/13	J		
293.					Buy	04/05/13	J		
294.					Buy	04/15/13	J		
295.					Buy	04/17/13	J		
296.					Buy	07/17/13	J		
297. -Mendelez Int'l (MDLZ)	A	Dividend			Buy	07/18/13	K		
298.					Sold (part)	10/25/13	J	B	
299.					Sold	11/29/13	J	B	
300. -MERCK (MRK)	A	Dividend	K	T	Buy	06/11/13	J		
301. -Morgan Stanley Emerging (EDD)	A	Dividend	K	T	Buy	12/23/13	K		
302. -Neuberger Berman (NBHIX)	A	Dividend			Buy	03/19/13	J		
303.					Buy	04/03/13	J		
304.					Buy	04/15/13	J		
305.					Buy	04/15/13	J		
306.					Buy	04/17/13	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 \$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	

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Humrickhouse, Stephani W.

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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)
307.					Sold	11/25/13	K	A	
308. -Oppenheimer Dev (ODVYX)	A	Dividend	J	T	Buy	03/19/13	J		
309.					Buy	04/03/13	J		
310.					Buy	04/05/13	J		
311.					Buy	04/15/13	J		
312.					Buy	04/17/13	J		
313. -Oppenheimer Int'l (OIGYZ)	A	Dividend	K	T	Buy	10/25/13	J		
314.					Buy	11/25/13	K		
315. -Tortoise Energy (NDP)	A	Dividend	K	T	Buy	9/25/13	J		
316.					Buy	10/25/13	J		
317. Edwards Jones Roth IRA	A	Dividend	K	T					
318. -Conoco Phillips	A	Dividend	J	T	Buy	03/14/13	J		
319. -Johnson & Johnson	A	Dividend	J	T	Buy	03/14/13	J		
320. -McDonalds	A	Dividend	J	T	Buy	03/14/13	J		
321. -Phillip Morris	A	Dividend	J	T	Buy	03/14/13	J		
322. Edward Jones Portfolio	A	Int./Div.	M	T					
323. -American Funds TAIA	A	Dividend	K	T	Buy	08/07/12	K		

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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Humrickhouse, Stephani W.

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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)
324. -Goldman Sachs CD	A	Interest	J	T	Buy	08/13/12	J		
325. -NC Med Care Comm Health Bond	A	Interest	K	T	Buy	08/06/12	K		
326. -Prudential Prem. Ref. Contract	A	Dividend	L	T	Buy	08/08/12	L		
327. -Raleigh Durham Airport Bond	A	Interest	K	T	Buy	09/24/12	K		
328. -Lincoln Life Ins.	A	Dividend	L	T	Buy	09/13/13	L		
329. ACS/Mellon Health Savings Account		None			Sold	01/01/13	J		
330. Durham Arvin Partnership		None	K	W					
331. Equitable Insurance		None			Sold	09/01/13	L		
332. FMI Corp. Stock	G	Distribution	N	U					
333. FMI Infrastructure Investors, LLC	A	Distribution			Sold	12/27/13	J		
334. GP Land, LLC	A	Int./Div.	M	U					
335. National Life Insurance		None			Sold	09/01/13	J		
336. Nationwide Insurance		None	J	T					
337. North State Bank Acct	A	Interest	J	T					
338. Wells Fargo Bank Account	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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Humrickhouse, Stephani W.

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

Part VII - Investments and Trusts

Line 11 - Goldman Sachs Midcap was purchased in 2012 but erroneously omitted from 2012 Report

Line 45 - Vanguard S&P 500 Index ETF (VOO) was purchased in 2012 but erroneously omitted from 2012 Report

Line 47 - Vanguard Short Term Corp Bond Fund VCSH was purchased in 2012 but erroneously omitted from 2012 Report

Line 51 - VMMXX, a money market account associated with the Vanguard Portfolio, originated prior to 2012, but was erroneously omitted from previous reports.

Line 221 - FIA Card Services is a cash account used to fund purchases/hold proceeds in the Merrill Lynch Wealth Management CMA. Dividends, interest and proceeds from sales are deposited into the cash account. Funds are used to purchase new positions or add to existing ones.

Line 277 - FIA Card Svc Cash (11AXX) is a cash account used to fund purchases/hold proceeds in the Merrill Lynch Wealth Management IRA. Dividends, interest and proceeds from sales are deposited into the cash account. Funds are used to purchase new positions or add to existing ones.

Lines 323 through 327-- Goldman Sachs CD, Raleigh Airport Bond, NCMed Care Comm Health Bond, American Funds and Prudential Premium Retirement Contract were all purchases through Edward Jones Portfolio in 2012 and erroneously omitted from the 2012 Report.

Line 329 - ACS Mellon Health Savings Acct: [REDACTED] health plan terminated and health savings plan drawn down to \$0.

Line 331 - Equitable Life Insurance policy cancelled and cash value withdrawn.

Line 335 - National Life Insurance policy cancelled and cash value withdrawn.

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Name of Person Reporting

Humrickhouse, Stephani W.

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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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Washington, D.C. 20544