

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) Warren, David M.	2. Court or Organization U.S. Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 08/29/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	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 Century Station Post Office and Courthouse 300 Payetteville Street, Room 323 Raleigh, NC 27601-1749		
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. Chairman	FRMT, Ltd.
2. Chairman	Turner W. Battle Scholarship Trust (Rocky Mount Academy)
3. Power of Attorney	POA #1
4. Director	Paramount Condominium Homeowners Association, Inc.
5. President	9 Shearwater Street Condominium Owners Association, Inc.
6. Manager	9 Shearwater LLC
7. Manager	Roofjumpers LLC
8. Manager	McLash LLC
9. Adjunct Professor	Norman A. Wiggins School of Law (Campbell University)

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. 1/1/1991	Poyner Spruill LLP Retirement Plan, former law firm. This is a qualified pension plan that was discontinued in approximately 1991.
2.	

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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. 2/1/2015	Campbell University -Salary	\$2,500.00
2. 2/15/2015	Campbell University-Salary	\$2,500.00
3. 5/7/2015	The Glenwood Agency-Real Estate Commission	\$3,112.50
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. 2015	Smith Moore Leatherwood LLP- Salary
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. Kappa Alpha Order	1/15/2015-1/18/2015	West Palm Beach/Boca Raton, FL	Edgewater Conference	transportation, lodging, food
2. North-American Interfraternity Conference	3/13/2015-3/14/2015	Indianapolis, IN	Board Meeting	lodging, food
3. Kappa Alpha Order	3/13/2015-3/14/2015	Indianapolis, IN	North-American Interfraternity Conference Board Meeting	transportation
4. North-American Interfraternity Conference	4/17/2015-4/20/2015	Kansas City, MO	Board Meeting	lodging, food

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5.	Kappa Alpha Order	4/17/2015-4/20/2015	Kansas City , MO	North-American Interfraternity Conference Board Meeting	transportation
6.	Eastern Bankruptcy Institute, Inc.	5/28/2015-5/30/2015	N. Myrtle Beach, SC	Annual Eastern Bankruptcy Institute Seminar	lodging, food
7.	FRMT, Ltd.	06/9/2015 - 06/10/2015	Indianapolis, IN	FRMT, Ltd Annual Meeting	transportation, lodging, food
8.	Kappa Alpha Order	7/29/2015-8/2/2015	Roanoke, VA	Convention	lodging, food, transportation
9.	North-American Interfraternity Conference	9/11/2015-9/13/2015	New Orleans, LA	Board Meeting	lodging, food
10.	Kappa Alpha Order	9/11/2015-9/13/2015	New Orleans, LA	North-American Interfraternity Conference Board Meeting	transportation
11.	North-American Interfraternity Conference	9/22/2015-9/23/2015	Indianapolis, IN	Board Meeting	lodging, food
12.	Kappa Alpha Order	9/22/2015-9/23/2015	Indianapolis, IN	North-American Interfraternity Conference Board Meeting	transportation
13.	National Conference of Bankruptcy Judges	9/27/2015-9/30/2015	Miami Beach, FL	Annual Meeting	lodging
14.	N.C. Bar Association	11/6/2015-11/7/2015	Pinehurst, NC	NC Bar Association Annual Bankruptcy Institute	lodging, food
15.	North-American Interfraternity Conference	12/1/2015-12/3/2015	Ft. Worth, TX	Board Meeting	lodging, food
16.	Kappa Alpha Order	12/1/2015-12/3/2015	Ft. Worth, TX	North-American Interfraternity Conference Board Meeting	transportation
17.	Turnaround Management Association	12/7/2015	Charlotte, NC	Annual Meeting	lodging, food, transportation

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

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Rental Rocky Mount, NC	D	Rent			Sold (part)	12/01/15	L	A	Ramzi Rafat Abukheit
2. Rental Raleigh, NC (50% int)	D	Rent	M	Q					
3. House, Wrightsville Beach, NC (17% int)		None	M	W					
4. Northwestern Mutual Life Whole Life Policy	C	Dividend	L	T					
5. National Life Whole Life Policy	B	Dividend	K	T					
6. Mutual Trust Whole Life Policy	A	Dividend	K	T					
7. Eaton Corp (ETN)	B	Dividend	K	T					
8. B&G Foods (BGS)	A	Dividend			Sold	04/30/15	K	B	
9. Chemours	A	Dividend	J	T	Spinoff (from line 14)	07/01/15	J		
10. Clorox (CLX)	B	Dividend	K	T					
11. Cummins (CMI)	A	Dividend	K	T					
12. Dieago (DEO)	B	Dividend	K	T					
13. Dow Chemical Company	A	Dividend	K	T	Buy	01/08/15	K		
14. DuPont (DD)	A	Dividend	K	T					
15. Eastman Chemical Company	A	Dividend	K	T	Buy	03/27/15	K		
16. Emerson Electric (EMR)	A	Dividend	K	T					
17. Exxon Mobil (XOM)	B	Dividend	K	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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☐ 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)

18. Fluor (FLR)	A	Dividend	K	T					
19. Heineken (HEINY)	A	Dividend	K	T					
20. Hershey Company	A	Dividend	K	T	Buy	08/12/15	K		
21. Johnson & Johnson (JNJ)	B	Dividend	K	T					
22. Kansas City Life Ins. Co.	A	Dividend	J	T	Buy	12/03/15	J		
23. Kellogg (K)	A	Dividend	K	T					
24. McCormick & Co. (MCK)	A	Dividend	K	T					
25. McDonalds (MDC)	B	Dividend	L	T					
26. Monsanto Company	A	Dividend	K	T	Buy	08/12/15	K		
27. 3 M (MMM)	B	Dividend	K	T					
28. Nestle (NSRGY)	B	Dividend	K	T					
29. Pepsico (PEP)	B	Dividend	K	T					
30. Proctor & Gamble (PG)	B	Dividend	K	T					
31. Royal Dutch Shell (RDSB)	B	Dividend	K	T					
32. Sonoco (SON)	B	Dividend	K	T					
33. Suncor Energy (SU)	A	Dividend	K	T					
34. Sysco (SY)	A	Dividend			Sold	08/04/15	J	A	

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35. Unilever PLC	A	Dividend	K	T	Buy	09/02/15	K		
36. General Mills (GIS)	A	Dividend	K	T					
37. Coca Cola (KO)	A	Dividend	K	T					
38. Conagra Foods (CAG)	A	Dividend	K	T					
39. General Electric (GE)	A	Dividend	K	T					
40. IBM	A	Dividend	K	T					
41. Kraft Foods (KRGF)	B	Dividend	K	T					
42. United Technologies (UTX)	A	Dividend	K	T					
43. Snyders-Lance (LNCE)	A	Dividend	K	T					
44. Fidelity Cash Reserves	A	Dividend	K	T					
45. American Electric and Power	A	Dividend			Sold	01/13/15	K	C	
46. First Citizens Bank A	A	Dividend	K	T					
47. First Citizens Bank B Preferred	A	Dividend	K	T					
48. Pepco Holdings	A	Dividend	J	T					
49. Petroleo Brasileiro	A	Dividend	J	T					
50. Amerprise Insured Money Market	A	Interest	J	T					
51. Fidelity Equity Income (DMW)	A	Dividend	K	T	Buy (add'l)	01/27/15	J		

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52. Fidelity Equity Income (KLB)	A	Dividend	J	T	Buy (add'l)	05/18/15	J		
53.			J	T	Buy (add'l)	06/22/15	J		
54.			J	T	Buy (add'l)	08/21/15	J		
55.			J	T	Buy (add'l)	09/29/15	J		
56.			J	T	Buy (add'l)	10/27/15	J		
57.			J	T	Buy (add'l)	12/10/15	J		
58. Fidelity Equity Income (MMW)	A	Dividend	J	T					
59. Allegion (ALLE)	A	Dividend	J	T					
60. Campbell Soup (CPB)	A	Dividend	J	T					
61. Clorox (CLX)	A	Dividend	J	T					
62. Conagra (CAG)	A	Dividend	K	T					
63. Cummins Inc	A	Dividend	J	T	Buy	09/25/15	J		
64. Dupont	A	Dividend	J	T	Buy	09/25/15	J		
65. Eaton (ETN)	A	Dividend	J	T					
66. Exxon Mobil (XOM)	A	Dividend	J	T					
67. General Electric (GE)	A	Dividend	J	T					
68. Kellogg (K)	A	Dividend	J	T					

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69. Kimberly Clark (KMB)	A	Dividend	J	T					
70. 3M Compnay	A	Dividend	J	T	Buy	09/02/15	J		
71. McCormick & Co. (MKC)	A	Dividend	J	T					
72. McDonalds (MCD)	A	Dividend	J	T					
73. Molson Coors(TAP)	A	Dividend			Sold	09/24/15	J	C	
74. Nestle (NSRGY)	A	Dividend	J	T					
75. Pepsico (PEP)	A	Dividend	J	T					
76. Proctor & Gamble (PG)	A	Dividend	J	T	Buy (add'l)	09/02/15	J		
77. Snyders Lance (LNCE)	A	Dividend	J	T					
78. Sonoco (SON)	A	Dividend	J	T					
79. Sysco (SYY)	A	Dividend			Sold	08/04/15	J	A	
80. Unilever	A	Dividend	J	T					
81. Ingersoll-Rand PLC	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I

Line 2: The Turner W. Battle Scholarship Trust is an asset of Rocky Mount Academy. David M. Warren has no ownership interest in the funds of approximately \$500,000. The interest from the principal is used to fund educational scholarships for students attending Rocky Mount Academy in Rocky Mount, NC.

Part II:

Line 1: The Poyner Spruill LLP Retirement Plan (pension) is currently underfunded but is insured by the Pension Benefit Guaranty Corp. David M. Warren does not have information on the performance of the pension plan and has not made contributions or withdrawals. He has no liability for its performance. The entry regarding this asset was removed from Part VII (listed in 2014 on line 8) as it is correctly reported as a pension interest in Part II.

Part III:

Line 3: David M. Warren has held a North Carolina Real Estate Brokers License since approximately 1989. The commissions earned are solely from the sale of property in which he or his spouse has an interest.

Part VII:

Line 1: The rental property in Rocky Mount was sold with a purchase money promissory note and deed of trust. The sum of \$10,000 was paid at closing with the balance being financed over time.

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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/ **David M. Warren**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544