

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

*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 12/14/2015
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 ☐ Initial ☒ Annual ☒ Amended Report ☐ Date ☐ Final	6. Reporting Period 01/01/2014 to 12/31/2014
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. Partner	Poyner Spruill LLP (withdrew 01/31/2014)
2.	
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. 1991	Poyner Spruill LLP Retirement Plan, former law firm. This is a qualified pension plan that was discontinued in approximately 1991 when the firm moved to a 401(k)
2.	plan. I do not know how the pension money is invested, and I will receive my share upon retirement age at a designated monthly amount which is calculated under
3.	the terms of the plan.

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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. 01/31/2014	Poyner Spruill LLP-Salary	\$16,688.00
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. 2014	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	04/05/2014 - 04/06/2015	Atlanta, GA	North-American Interfraternity Conference Meeting	transportation, lodging, food
2. Kappa Alpha Order	04/25/2014 - 04/27/2014	Orlando, FL	Kappa Alpha Order - Educational Foundation	transportation, lodging, food
3. Eastern Bankruptcy Institute, Inc.	05/29/2014 - 05/31/2014	N. Myrtle Beach, SC	Annual Eastern Bankruptcy Institute Seminar	lodging, food
4. FRMT, Ltd.	06/10/2014 - 06/12/2014	Indianapolis, IN	FRMT, Ltd Annual Meeting	transportation, lodging, food

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5.	Kappa Alpha Order	09/06/2014 - 09/07/2014	Providence, RI	North-American Interfraternity Conference Board Meeting	transportation, lodging, food
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6.	N.C. Bar Association	11/07/2014 - 11/08/2014	Asheville, NC	Annual N.C. Bar Association Bankruptcy Section Seminar	lodging, food
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7.					
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8.					
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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.	Poyner Spruill LLP	Investiture Reception	\$8,000.00
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.	Wells Fargo Bank, NA	Mortgage on Rental Property in Raleigh, NC	M
2.	PNC Bank, NA	2nd Mortgage on Rental Property in Raleigh, NC	J
3.	Southern Bank	Mortgage on Rental Property in Rocky Mount, NC	L
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	L	W					
2. Rental Raleigh, NC (50% int)	D	Rent	M	W					
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. Poyner Spruill LLP Law Firm					Redeemed	06/16/14	K	A	
8. Poyner Spruill LLP Retirement Plan (pension)		None							Did not contribute to plan.
9. Eaton Corp (ETN)	A	Dividend	K	T	Buy	10/16/14	J		
10. Bank of America Common Stock	A	Dividend			Sold	01/30/14	J	A	
11. B&G Foods (BGS)	A	Dividend	K	T	Buy	07/18/14	K		
12. Clorox (CLX)	B	Dividend	K	T					
13. Cummins (CMI)	A	Dividend	K	T	Buy	10/16/14	K		
14. Deere & Co.	A	Dividend			Sold	01/30/14	K	B	
15. Dieago (DEO)	A	Dividend	K	T	Buy (add'l)	10/16/14	J		
16. DuPont (DD)	A	Dividend	K	T	Buy	10/16/14	K		
17. Emerson Electric (EMR)	A	Dividend	K	T	Buy	12/05/14	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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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)

18. Exxon Mobil (XOM)	A	Dividend	K	T	Buy	10/16/14	K		
19. Fluor (FLR)	A	Dividend	K	T	Buy	12/05/14	K		
20. Heineken (HEINY)	A	Dividend	K	T					
21. Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy	10/16/14	K		
22. Kellogg (K)	A	Dividend	K	T					
23. McCormick & Co. (MCK)	A	Dividend	J	T	Buy	01/21/14	J		
24. McDonalds (MDC)	A	Dividend	K	T	Buy	07/24/14	K		
25. 3 M (MMM)	A	Dividend	K	T	Buy	10/16/14	K		
26. Nestle (NSRGY)	B	Dividend	K	T					
27. Pepsico (PEP)	B	Dividend	K	T					
28. Post Holdings (POST)	A	Dividend	K	T	Buy	08/20/14	K		
29. Post Holding (POST)	A	Dividend			Sold	10/13/14	K	A	
30. Proctor & Gamble (PG)	B	Dividend	K	T					
31. Royal Dutch Shell (RDSB)	A	Dividend	K	T	Buy	10/16/14	K		
32. Sonoco (SON)	B	Dividend	K	T					
33. Suncor Energy (SU)	A	Dividend	K	T	Buy	12/24/14	K		
34. Sysco (SYU)	A	Dividend	J	T	Buy	01/21/14	J		

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35. General Mills (GIS)	A	Dividend	K	T	Buy	03/04/14	K		
36. Coca Cola (KO)	A	Dividend	K	T	Buy	05/14/14	K		
37. Conagra Foods (CAG)	A	Dividend	K	T	Buy	06/18/14	K		
38. General Electric (GE)	A	Dividend	K	T	Buy	05/14/14	K		
39. IBM	A	Dividend	K	T	Buy	05/16/14	K		
40. Kraft Foods (KRGF)	A	Dividend	K	T	Buy	05/14/14	K		
41. United Technologies (UTX)	A	Dividend	K	T	Buy	10/16/14	K		
42. Pinnacle Foods	A	Dividend			Buy	06/06/14	K		
43. Pinnacle Foods	A	Dividend			Sold	07/01/14	K	A	
44. Snyders-Lance (LNCE)	A	Dividend	K	T	Buy	05/14/14	K		
45. Fidelity Cash Reserves	A	Dividend	L	T					
46. Pimco Total Returns	A	Dividend			Sold	04/09/14	J	A	
47. Fidelity Puritan	B	Dividend			Sold	04/09/14	L		
48. American Growth Fund	B	Dividend			Sold	04/09/14	L		
49. Vanguard 500 Index	D	Dividend			Sold	04/09/14	M		
50. Primecap Odyssey Aggressive Growth	E	Dividend			Sold	04/09/14	M		
51. Ivy Mid Cap Growth 1	D	Dividend			Sold	04/09/14	M		

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52. Keeley Small Cap Value	F	Dividend			Sold	04/09/14	M		
53. American New Prospective	D	Dividend			Sold	04/09/14	L		
54. American Electric and Power	A	Dividend	K	T					
55. First Citizens Bank A	A	Dividend	K	T					
56. First Citizens Bank B Preferred	A	Dividend	K	T					
57. Eli Lilly & Company	A	Dividend			Sold	06/23/14	K	E	
58. Pepco Holdings	A	Dividend	J	T					
59. Petroleo Brasileiro	A	Dividend	J	T					
60. Zimmer Holdings	A	Dividend			Sold	04/09/14	J	D	
61. Ameriprise Insured Money Market	A	Interest	J	T					
62. Gateway Bank Certificate of Deposit	A	Interest			Sold	01/01/14	J	A	
63. Fidelity Equity Income (DMW)	A	Dividend	J	T					
64. Fidelity Equity Income (KLB)	A	Dividend	J	T					
65. Fidelity Equity Income (MMW)	A	Dividend	J	T					
66. Allegion (ALLE)	A	Dividend	J	T	Spinoff (from line 88)				
67. Campbell Soup (CPB)	A	Dividend	J	T					
68. Clorox (CLX)	A	Dividend	J	T					

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69. Congra (CAG)	A	Dividend	K	T	Buy	06/18/14	K		
70. Eaton (ETN)	A	Dividend	J	T					
71. Exxon Mobil (XOM)	A	Dividend	J	T					
72. General Electric (GE)	A	Dividend	J	T	Buy	01/31/14	J		
73. Halyard Health		None			Sold	10/14/14	J		
74. Halyard Health		None			Sold	11/14/14	J	A	
75. Kellogg (K)	A	Dividend	J	T	Buy	01/31/14	J		
76. Kimberly Clark (KMB)	A	Dividend	J	T					
77. McCormick & Co. (MKC)	A	Dividend	J	T	Buy	01/31/14	J		
78. McDonalds (MCD)	A	Dividend	J	T					
79. Molson Coors(TAP)	A	Dividend	J	T					
80. Nestle (NSRGY)	A	Dividend	J	T					
81. Pepsico (PEP)	A	Dividend	J	T					
82. Proctor & Gamble (PG)	A	Dividend	J	T					
83. Snyders Lance (LNCE)	A	Dividend	J	T					
84. Sonoco (SON)	A	Dividend	J	T					
85. Sysco (SYI)	A	Dividend	J	T	Buy	01/31/14	J		

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86. Unilever	A	Dividend	J	T					
87. Wells Fargo (WFC)	A	Dividend			Sold	11/18/14	J		
88. Ingersoll-Rand PLC	A	Dividend	J	T					
89. Cohen & Steers Realty Shares					Sold				
90. Mainstay High Yield Corp Bd A					Sold				

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

Part VII:

Line 66, Allegion, (33 shares) was acquired by spouse, Keena Lynn Bartley, on December 2, 2013, with a value of approximately \$1,750.00. This asset was inadvertently omitted from the 2013 initial report.

Line 67, Campbell Soup (200 shares) was acquired by spouse, Keena Lynn Bartley, on November 26, 2013, with a value of approximately \$7,789.00. This asset was inadvertently omitted from the 2013 initial report.

Line 76, Kimberly Clark (100 shares) was acquired by spouse, Keena Lynn Bartley, on February 17, 2011 with a value of approximately \$6,528.00. This asset was inadvertently omitted from the 2013 initial report.

Line 86, Unilever (100 shares) was acquired by spouse, Keena Lynn Bartley, on July 30, 2008 with a value of approximately \$53,013.00. This asset was inadvertently omitted from the 2013 initial report.

Line 87, Wells Fargo (16 shares) was acquired by spouse, Keena Lynn Bartley, prior to 2009. Originally, there were 82 shares of Wachovia Bank that were converted to 16 shares as a part of the acquisition by Wells Fargo. At the time of the conversion the value of the shares was approximately \$847.00. This asset was inadvertently omitted from the 2013 initial report.

Line 89, Cohen & Steers Realty Shares was owned by David M. Warren through the Poyner Spruill LLP 401(k) in the amount of \$167,935. Those shares were sold in the 401(k) plan in during the 3rd quarter of 2013. The proceeds were reinvested in other mutual funds offered by that plan. All of the plan assets were liquidated on April 9, 2014 with the proceeds being rolled over into the IRA and TSP for the benefit of David M. Warren.

Line 90, Mainstay High Yield Corp Bd A was owned by David M. Warren through the Poyner Spruill LLP 401(k) in the amount of \$43,724. Those shares were sold in the 401(k) plan in during the 3rd quarter of 2013. The proceeds were reinvested in other mutual funds offered by that plan. All of the plan assets were liquidated on April 9, 2014 with the proceeds being rolled over into the IRA and TSP for the benefit of David M. Warren.

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12/14/2015

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
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