

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) James, Lena M.	2. Court or Organization United States Bankruptcy Court (MDNC)	3. Date of Report 04/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Bankruptcy Court 226 South Liberty Street Winston-Salem, North Carolina 27101		
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.)

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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

James, Lena M.

Date of Report

04/14/2015

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. 2014	Winston-Salem Forsyth County Schools - 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. Middle District Bankruptcy Seminar	4/24/14-4/26/14	Southern Pines, NC	Legal CLE (teach)	transportation, meals, lodging
2.				
3.				
4.				
5.				

Name of Person Reporting James, Lena M.	Date of Report 04/14/2015
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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.	Navient	Student Loans	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

James, Lena M.

Date of Report

04/14/2015

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. UESP 529 FDIC Insured Savings	A	Dividend	J	T					
2. UESP 529 Public Treasurer's Invstmt FD	A	Dividend	J	T					
3. UESP 529 Customized Age Based	A	Dividend	K	T					
4. UESP Aged Based Aggrsv Dmstc	A	Dividend	J	T					
5. Bright Start 529 Blended Aged 15-17	A	Dividend			Sold	07/03/14	J	A	
6. Charles Schwab Bank Checking	A	Interest	J	T					
7. Wells Fargo Checking	A	Interest	K	T					
8. Wells Fargo Savings	A	Interest	L	T					
9. Wells Fargo Money Market	A	Interest	L	T					
10. Charles Schwab Money Market	A	Dividend	L	T	Buy (add'l)	07/07/14	M		
11.					Sold (part)	07/09/14	M		
12. Power Shares DB Commodity Index	A	Interest	J	T	Sold (part)	07/02/14	J	A	
13. Matthews China Fund	A	Dividend	J	T	Sold (part)	07/02/14	J	A	
14. DWS Emerging Mkt Equity Fund	A	Dividend	J	T	Sold (part)	07/02/14	J	A	
15. RBC Micro Cap Value FD (RMVIX)	A	Dividend	K	T					
16. Schwab 1000 Index Fund (SNXFX)	B	Dividend	L	T					
17. Schwab S&P 500 Index FD (SWPPX)	A	Dividend	K	T	Sold (part)	07/02/14	L	E	

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

James, Lena M.

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18.					Sold (part)	07/03/14	J	B	
19. Vanguard Large-Cap ETF (VV)	A	Dividend			Sold	07/02/14	L	E	
20. Blackrock Euro Fund	A	Dividend	J	T	Sold (part)	07/02/14	J	A	
21. Davis Real Estate Fund	A	Dividend	J	T	Sold (part)	07/02/14	J	B	
22. DWS Latin American Equity Fund	A	Dividend	J	T	Sold (part)	07/02/14	J	A	
23. Northeast Investor Trust Fund	A	Dividend	J	T	Sold (part)	07/02/14	J		
24. Vanguard Small Cap Value ETF (VBR)	A	Dividend			Sold	07/02/14	J	B	
25. Munder Midcap Core Growth Fund		None			Sold	07/02/14	J	B	
26. PIMCO Emerging Market Bond Fund	A	Dividend	J	T	Sold (part)	07/02/14	J	A	
27. Wells Fargo Advantage Asia Pacific FD	A	Dividend	J	T	Sold (part)	07/02/14	J		
28. Vanguard FTSE Emerging Fund	A	Dividend	J	T					
29. Vanguard Growth Fund	A	Dividend	J	T					
30. Northwestern Mutual Whole Life	C	Dividend	M	T					
31. Vanguard Precious Metals and Mining		None	J	T	Buy	07/11/14	J		
32. Vanguard Prime Money Mkt Fund	A	Dividend	N	T	Buy	07/10/14	N		
33.					Sold (part)	07/11/14	K		
34.					Sold (part)	08/11/14	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

James, Lena M.

Date of Report

04/14/2015

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35.					Sold (part)	09/11/14	K		
36.					Sold (part)	10/10/14	K		
37.					Sold (part)	11/11/14	K		
38.					Sold (part)	12/11/14	K		
39. Vanguard REIT Index Fund Adm	A	Dividend	K	T	Buy	07/11/14	K		
40. Vanguard Retirement 2035	B	Dividend	K	T	Buy	07/11/14	K		
41.					Buy (add'l)	08/11/14	K		
42.					Buy (add'l)	09/11/14	K		
43.					Buy (add'l)	10/10/14	K		
44.					Buy (add'l)	11/11/14	K		
45.					Buy (add'l)	12/11/14	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

James, Lena M.

Date of Report

04/14/2015

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

- 1) Part I, line 1 - Position term completed.
- 2) Part VI, line 1 - Navient is a successor to the Sallie Mae student loan which was listed on previous report.
- 3) Part VII, lines 15,16,17,19,24 - Family and fund name added to information contained in previous report, per "Highlights to the Financial Disclosure Instructions", first bullet point in Reminders section.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

James, Lena M.

Date of Report

04/14/2015

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/ **Lena M. James**

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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