

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) James, Lena M.	2. Court or Organization United States Bankruptcy Court (MDNC)	3. Date of Report 05/17/2017
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 01/01/2016 to 12/31/2016
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.	

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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.		
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	Winston-Salem Forsyth County Schools - salary
2. 2016	Phoenix Academy - salary
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	4/14/16-4/16/16	Durham, NC	Legal CLE (teach)	transportation, meals, lodging
2. North Carolina Bankruptcy Institute	11/17/16-11/18/16	New Bern, NC	Legal CLE (teach)	transportation, meals, lodging
3.				
4.				
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Navient	Student Loans	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. UESP 529 FDIC Insured Savings	A	Dividend			Sold	11/30/16	J	A	
2. UESP 529 Public Treasurer's Invstmt FD	A	Dividend			Sold	11/30/16	J	A	
3. UESP 529 Customized Age Based	A	Dividend			Sold	11/30/16	J	A	
4. UESP Aged Based Aggrsv Dmstc	A	Dividend			Sold	11/30/16	J	A	
5. Charles Schwab Bank Checking	A	Interest	K	T					
6. Wells Fargo Checking	A	Interest	L	T					
7. Wells Fargo Savings	A	Interest	K	T					
8. Wells Fargo Money Market	A	Interest	L	T					
9. Charles Schwab Money Market	A	Dividend	L	T					
10. Power Shares DB Commodity Index		None	J	T	Sold (part)	12/05/16	J	A	
11. Matthews China Fund	A	Dividend	J	T					
12. DWS Emerging Mkt Equity Fund	A	Dividend	J	T					
13. RBC Micro Cap Value FD (RMVIX)	B	Dividend	K	T					
14. Schwab 1000 Index Fund (SNXFX)	B	Dividend	L	T					
15. Schwab S&P 500 Index FD (SWPPX)	B	Dividend	L	T					
16. Blackrock Euro Fund	A	Dividend	J	T					
17. Davis Real Estate Fund	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
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. DWS Latin American Equity Fund	A	Dividend	J	T					
19. Northeast Investor Trust Fund	A	Dividend	J	T					
20. PIMCO Emerging Market Bond Fund	A	Dividend	J	T					
21. Wells Fargo Advantage Asia Pacific FD	A	Dividend	J	T					
22. Vanguard FTSE Emerging Fund	A	Dividend	J	T					
23. Vanguard Growth Fund	A	Dividend	J	T					
24. Northwestern Mutual Whole Life	C	Dividend	M	T					
25. Vanguard Precious Metals and Mining	A	Dividend	J	T					
26. Vanguard Prime Money Mkt Fund	A	Dividend	K	T					
27. Vanguard REIT Index Fund Adm	A	Dividend	K	T					
28. Vanguard Retirement 2035	C	Dividend	M	T					

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

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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/ **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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