

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) Humrickhouse, Stephani W.	2. Court or Organization Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 9/28/2017
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 01/01/2016 to 12/31/2016
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.		

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

☐ NONE (No reportable positions.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board Member	Campbell University School of Law, Board of Visitors
2.	Board Member	North Carolina Museum of History Associates
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	FMI Corp W-2
2. 2016	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.	National Conference of Bankruptcy Judges	3/14/2016 - 3/15/2016	Fort Worth, Texas	NCBJ Mid-Year Meeting/ ABLJ Committee Meeting	Lodging, Meals, Travel
2.	Federal Judicial Center	4/16/2016 - 4/20/2016	Albuquerque, New Mexico	FJC Bankruptcy Judges Workshop	Lodge, Meals, Travel
3.	Federal Judicial Center	6/30/2016 - 7/1/2016	Philadelphia, PA	Bankruptcy Judges Workshop - Presenter	Lodging, Meals, Travel
4.	American Bankruptcy Institute	7/21/2016 - 7/24/2016	Amelia Island, FL	ABI Southeastern Bankr. Workshop - Presenter	Lodging, Meals, Travel
5.	American Bankruptcy Institute	8/4/2016 - 8/6/2016	Cambridge, MD	ABI Mid-Atlantic Bankr. Workshop - Presenter	Lodging, Meals, Travel

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6.	North Carolina Bar Association	11/17/2017 - 11/19/2016	New Bern, NC	North Carolina Bar Bankruptcy Institute	Lodging, Meals
7.	American Bankruptcy Institute	12/2/2016 - 12/4/2016	Rancho Palos Verdes, CA	ABI Winter Conference - Presenter	Lodging, Meals, Travel
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.)*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. Am. Equity Inv. Life Ins. Co. Flex. Prem. Deferred Ann	D	Dividend	M	T					
2. Fidelity Capital Appreciation Fund	A	Int./Div.	K	T					
3. FMI 401K									
4. --Black Rock Equity	B	Dividend			Sold	03/01/16	M		
5. --R6 Eagle Small Cap Growth	A	Dividend	K	T	Buy	3/1/2016	K		
6.					Sold (part)	05/01/16	J		
7. --Eagle Small Cap Growth A	A	Dividend			Sold	03/01/16	K		
8. --Harbor Capital Appreciation Inst Div		None	M	T	Buy	03/01/16	M		
9.		None			Sold (part)	05/01/16	J		
10. --Hartford Int'l Opp R5	A	Dividend	K	T	Sold (part)	05/01/16	J		
11. --John Hancock Disc. Value		None	M	T	Buy	03/01/16	M		
12.		None			Sold (part)	05/01/16	K		
13. --Mainstay Large Cap Growth Fund	B	Dividend			Sold	03/01/16	M		
14. --MFS International Value R4	A	Dividend	K	T	Sold (part)	05/01/16	J		
15. --Metropolitan West Total Return Bond	C	Int./Div.	K	T	Sold (part)	05/01/16	J		
16. --Principal Real Estate Securities Inst.	C	Dividend	L	T	Sold (part)	05/01/16	K		
17. --Prudential Jennison Health Sciences	B	Dividend	L	T	Sold (part)	05/01/16	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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18. --TRowe Price Science and Tech/Adv	A	Dividend	L	T	Sold (part)	05/01/16	K		
19. --Wells Fargo Stable Return Fund	C	Interest	O	T	Buy	05/01/16	M		
20. Etrade									
21. --1 Share S&P Midcap ETF (IJH)	A	Dividend	K	T					
22. --1 Share S&P Small Cap ETF (IJR)	A	Dividend	K	T					
23. --DIAX (mutual fund) (previously named DPD)	A	Dividend			Sold	08/09/16	J		
24. --Ford Motor (common)	A	Dividend			Buy	07/28/16	J		
25.					Sold	08/09/16	J		
26. --I Shares US Energy ETF (IYE)	A	Dividend			Buy	02/04/16	J		
27.					Sold	08/09/16	J		
28. --SPDR S&P Small Capital Growth ETF (SLYG)	A	Dividend	J	T	Buy	01/06/16	J		
29. Vanguard Brokerage Acct	C	Int./Div.	N	T					
30. --Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T					
31. --Vanguard Short Term Tax Exempt VWSTX	A	Dividend	J	T					
32. --Vanguard Prime Money Mkt Fund VMMXX	A	Interest	M	T					
33. --Vanguard Large Capital ETF VV	A	Dividend	L	T	Buy	01/22/16	K		
34. ---Capital One Bank CD	B	Interest	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	
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35. Fisher/Morgan Stanley Man. Inv. Acct.	E	Dividend	O	T					
36. --i Shares MSCI Euro-zone ETF (EZU)	A	Dividend	K	T	Sold (part)	08/05/16	J		
37. --i Shares Global Consumer STP ETF (KXI)	A	Dividend	J	T					
38. --SPDR High Yield ETF (JNK)	A	Dividend	K	T	Sold (part)	08/05/16	J		
39. --FBGX	A	Dividend	K	T					
40. --FEEU	A	Dividend			Sold	07/18/16	J		
41. --FIEE UBS AG London BRIT		None	J	T	Buy	07/18/16	J		
42. --IEV I Shares Europe ETF	B	Dividend	K	T	Buy	07/15/16	K		
43.					Sold (part)	08/05/16	J	A	
44. --FIGY	A	Dividend	J	T					
45. --IXN (ETF)	A	Dividend	K	T					
46. --JP Morgan Municipal Fund (now called Morgan Stanley Money Market)	A	Interest	J	T					
47. --LQD (ETF)	C	Dividend	L	T	Sold (part)	08/05/16	J	A	
48. --MBB (ETF)	A	Dividend	K	T	Sold (part)	08/05/16	J	A	
49. --QQQ (ETF)	A	Dividend	K	T					
50. --SCPB (ETF)	A	Dividend	K	T	Sold (part)	08/05/16	J	A	
51. --TFI (ETF)	A	Dividend	K	T	Sold (part)	08/05/16	J	A	

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3. Value Method Codes (See Column C2)					

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52. --XLG (ETF)	A	Dividend	K	T	Buy	06/21/16	J		
53.					Sold (part)	08/05/16	J	B	
54. --XLF (ETF)	B	Dividend	L	T	Sold (part)	08/05/16	J	B	
55.					Sold (part)	09/30/16	J		
56. --XLV (ETF)	A	Dividend	K	T	Sold (part)	08/05/16	J	C	
57. --XLY (ETF)	A	Dividend	K	T					
58. --VGK	A	Dividend			Sold	07/15/16	K		
59. --VIS	A	Dividend	J	T	Sold (part)	08/05/16	J	A	
60. Janney, Montgomery, Scott (fka Scott&Stringfellow IRA -Managed Account									
61. --BP Capital Twin MLP Fund (BPMCX)	A	Dividend	K	T					
62. --BAEIX (mutual fund)	D	Dividend	N	T	Sold (part)	08/24/16	N		
63. --Cullen High Div. Equity Classic (CHVCX)	D	Dividend	N	T	Buy	08/24/16	N		
64. --Federated Treasury Fund (cash acct)	A	Interest	J	T					
65. Merrill Lynch Wealth Management - CMA									
66. -ALLSTATE CORP. Preferred Stock ALLPRA	A	Dividend	J	T					
67. -Cohen and Steers (RQI)	A	Dividend	J	T					
68. -Community Health Systems CYH	A	Dividend			Sold	07/27/16	J		

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69. -Conoco Phillips (COP)	A	Dividend	J	T					
70. -Eli Lilly (LLY)	A	Dividend	J	T					
71. -Exxon Mobile (XOM)	A	Dividend	J	T					
72. --FCT	A	Dividend			Sold	01/04/16	J		
73. --First Niagara (FNFG)	A	Dividend			Sold	01/04/16	J	C	
74. --First Solar	A	Dividend			Buy	10/25/16	J		
75.					Sold	12/13/16	J		
76. --Ford (F)	A	Dividend	J	T	Buy	02/25/16	J		
77. -HOLX	A	Dividend			Sold (part)	02/25/16	J	B	
78.					Sold (part)	04/25/16	J	A	
79.					Sold	07/27/16	J	B	
80. --Intel (INTC)	A	Dividend	J	T	Buy	02/25/16	J		
81. --MASCO (MAS)	A	Dividend			Sold	02/25/16	K	D	
82. --Merck (MRK)	A	Dividend	J	T					
83. --Merrill Lynch (FIA Card Services) Bank Deposit Program (cash)	A	Int./Div.	J	T					
84. --Nuveen Float Rate (JFR)	A	Dividend	K	T					
85. --Nuveen Ins. (NEA)	A	Dividend	J	T					

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86. --Poweshares Preferred PGX	A	Dividend			Buy	07/27/16	K		
87.					Sold	12/13/16	K		
88. --Powershares Variable Rate (VRP)	A	Dividend	J	T	Buy	07/27/16	J		
89. --Proctor & Gamble	A	Dividend			Buy	07/07/16	K		
90.					Sold	12/13/16	K		
91. --Qualcom	A	Dividend			Buy	04/25/16	J		
92.					Sold	07/27/16	J	B	
93. --Quorum	A	Dividend			Buy	04/25/16	J		
94.					Sold	07/25/16	J		
95. --RDSA (Royal Dutch)	A	Dividend	J	T	Buy	06/27/16	J		
96.					Buy	09/19/16	J		
97.					Buy	12/16/16	J		
98. --RDSB Royal Dutch Shell Preferred	A	Dividend	K	T	Buy	04/25/16	K		
99. --Topbuild	A	Dividend			Sold	02/25/16	K	A	
100. --Vodafone	A	Dividend			Buy	09/21/16	J		
101.					Sold	12/13/16	J		
102. --WOOF	A	Dividend			Sold (part)	02/25/16	J	B	

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103.					Sold	04/18/16	J	C	
104. Merrill Lynch Wealth Management - IRA									
105. -Alger Spectra (ASPZX)	A	Dividend	K	T					
106. -Bank of America, NA, RAST (FIA Card Svc Cash (11AXX))	A	Int./Div.	J	T					
107. -BLACK ROCK CREDIT (BCX)	A	Dividend	J	T					
108. -BLACK ROCK CREDIT (BTZ)	A	Dividend	J	T					
109. -Clearbridge Energy (CEM)	A	Dividend	J	T					
110. -Cohen and Steers (RQI)	A	Dividend	J	T	Sold (part)	07/27/16	J	B	
111. -Conoco Phillips	A	Dividend	J	T					
112. -Exxon Mobile X									
113. -First Eagle (SG11X)	A	Dividend	K	T					
114. -First Solar FSLR	A	Dividend	J	T	Buy	10/25/16	J		
115. -Highland Global (HCOYX)	A	Dividend	J	T					
116. -Intel INTL	A	Dividend	J	T	Buy	02/25/16	J		
117. -INVESCO (VVR)	A	Dividend	J	T					
118. -KKR	A	Dividend	K	T					
119. -MERCK (MRK)	A	Dividend			Sold	04/28/16	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 \$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

9/28/2017

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. -Morgan Stanley Emerging (EDD)	B	Dividend	J	T					
121. -Oppenheimer Dev (ODVYX)	A	Dividend	J	T					
122. -Oppenheimer Int'l (OIGYX)	A	Dividend	K	T					
123. -Powershares Preferred Portfolio (PGX)	A	Dividend	K	T	Buy	07/27/16	K		
124. -Proctor & Gamble (PG)	A	Dividend	J	T	Buy	07/27/16	J		
125. --Qualcom A Div	A	Dividend			Buy	04/25/16	J		
126.					Sold	07/27/16	J	B	
127. -Royal Dutch Shell RDSB	A	Dividend	J	T					
128. Edward Jones IRA #1									
129. --AT&T	A	Dividend	J	T	Buy	05/17/16	J		
130. --Cash Account	A	Interest	J	T	Buy	04/01/16	J		
131. -Conoco Phillips	A	Dividend	J	T					
132. -Invesco Global 45 Div. Strategy Unit Trust	A	Dividend			Sold	04/01/16	J		
133. -Johnson & Johnson	A	Dividend	J	T					
134. -Tiffany & Co.	A	Dividend	J	T	Buy	05/17/16	J		
135. Edwards Jones IRA #2 X									
136. -Cash	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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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)
137. -VanGuard GNMA Inv. Share	A	Dividend	J	T	Buy	10/24/16	J		
138. Edward Jones Single One									
139. -Cash Account	A	Interest	K	T	Buy	11/02/16	K		
140. -American Funds TAIAX	B	Dividend	K	T					
141. -Goldman Sachs CD	A	Interest	K	T					
142. -Lincoln Life Ins.	A	Dividend	L	T					
143. -NC Med Care Comm Health Bond	C	Interest			Sold	11/02/16	K		
144. -Prudential Prem. Ret. Contract Annuity	C	Dividend	L	T					
145. -Raleigh Durham Airport Bond	B	Interest	K	T					
146. Edward Jones Single Two									
147. -AT&T (T)	A	Dividend	J	T	Buy	09/06/16	J		
148. -DollarGen (DG)	A	Dividend	J	T	Buy	09/06/16	J		
149. -Dover Corp (DOV)	A	Dividend	J	T	Buy	09/06/16	J		
150. -Emerson Elec (EMR)	A	Dividend	J	T	Buy	09/06/16	J		
151. -Exxon Mobile (XOM)	A	Dividend	J	T	Buy	09/06/16	J		
152. -John Hancock Bond Fund (JHBIX)	A	Dividend	K	T	Buy	09/06/16	K		
153. -Johnson & Johnson (JNJ)	A	Dividend	J	T	Buy	09/06/16	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.

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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. -Lord Abbott Short Duration (LDLFX)	A	Dividend	J	T	Buy	09/06/16	J		
155. -Microsoft (MSFT)	A	Dividend	J	T	Buy	09/06/16	J		
156. -Praxair (PX)	A	Dividend	J	T	Buy	09/06/16	J		
157. -Proctor & Gamble (PG)	A	Dividend	J	T	Buy	09/06/16	J		
158. -Scana (SCG)	A	Dividend	J	T	Buy	09/06/16	J		
159. -Target (TGT)	A	Dividend	J	T	Buy	09/06/16	J		
160. -United Tech (UTX)	A	Dividend	J	T	Buy	09/06/16	J		
161. -Ventas (VTR)	A	Dividend	J	T	Buy	09/06/16	J		
162. -Verizon (VZ)	A	Dividend	J	T	Buy	09/06/16	J		
163. Edward Jones Single Three X									
164. -Cash Account	A	Interest	L	T					
165. -BellSouth Corp Bond	A	Dividend	J	T					
166. -Dallas Co. Tex Hosp Bond	A	Dividend	J	T					
167. -Dallas Tex Transit Bid American Bonds	A	Dividend	J	T					
168. -GE Cap Bond	A	Dividend	J	T					
169. -McDonald's Corp. Bond	A	Dividend	J	T					
170. -Metro Transit Auth Rev Bond	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 P1 = \$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	
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Name of Person Reporting

Humrickhouse, Stephani W.

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9/28/2017

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. Durham Arvin Partnership		None	K	W					
172. FMI Corp. Stock	G	Distribution	N	U					
173. GP Land, LLC	A	Interest			Sold	10/31/16	M	G	
174. Nationwide Whole Life Insurance		None	J	T					
175. North State Bank Acct	A	Interest	J	T					
176. Bank of America Bank Account	A	Interest	J	T					
177. Equitable Life Insurance (cash value)	A	Dividend	K	T					
178. Alpine 4 Technologies Ltd	A	Dividend	J	T	Buy	02/13/16	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 P1 –\$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 112: This stock was erroneously reported in the Merrill Lynch IRA account. It is properly reported in the Merrill Lynch CMA account on line 71.

Line 135: IRA was inherited on 11/2/2016.

Line 163: Account was inherited on 11/2/2016.

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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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