

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) Waites, John E.	2. Court or Organization U.S. Bankruptcy Court, District of South Carolina	3. Date of Report 5/15/2017
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 U.S. Bankruptcy Court - District of South Carolina 145 King Street, Room 225 Charleston, SC 29401		
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 7

Name of Person Reporting

Waites, John E.

Date of Report

5/15/2017

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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2016	
2. 2016	
3. 2016	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. South Carolina Bar	1/21/2016 - 1/24/2016	Charleston, SC	Annual Convention	Registration fee
2. National Conference of Bankruptcy Judges	3/14/2016-3/15/2016	Fort Worth, TX	Seminar	Registration fee, meals, transportation, lodging
3. Southeastern Bankruptcy Law Institute	3/30/2016-4/2/2016	Atlanta, GA	Seminar	Registration fee, meal
4. National Association of Bankruptcy Trustees	4/7/2016-4/9/2016	Atlanta, GA	Seminar	Registration fee, meals, transportation, lodging
5. National Conference of Bankruptcy Judges	4/25/2016-4/27/2016	Washington, DC	Meeting with Congressional Members	Lodging, meals, transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Waites, John E.

Date of Report

5/15/2017

6.	South Carolina Bankruptcy Law Association	4/29/2016-5/1/2016	Hilton Head Island, SC	Seminar	Lodging, Registration fee, meals
7.	American Bankruptcy Institute	7/21/2016-7/24/2016	Amelia Island, FL	Seminar	Registration fee, meals, transportation, lodging
8.	American Bankruptcy Institute	8/4/2016-8/6/2016	Cambridge, MD	Seminar	Registration fee, meals, transportation, lodging
9.	South Carolina Association for Justice	8/6/2016-8/7/2016	Hilton Head Island, SC	Seminar	Registration fee, lodging
10.	National Conference of Bankruptcy Judges	10/25/2016-10/29/2016	San Francisco, CA	Annual Conference	Lodging, registration fee, transportation, meals
11.	North Carolina Bar	11/18/2016-11/19/2016	New Bern, NC	Seminar	Transportation, lodging, registration fee, meals
12.	Turnover Management Association	12/5/2016-12/6/2016	Charlotte, NC	Seminar	Lodging, meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Waites, John E.

Date of Report

5/15/2017

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.	SCBT	Loan on 2006 Volvo (co-debtor on non-dependent daughter's loan)	J
2.	Chase	Mortgage on property in Columbia, SC, in which non-dependent son resides (spouse is debtor on loan)	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Waites, John E.

Date of Report

5/15/2017

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)

1.	S.C. Deferred Comp. Plan 401K/Profit Sharing	A	Interest	J	T				
2.	Future Scholar 529 - Columbia Leg Captl Preser E	A	Dividend	J	T				
3.	Future Scholar 529 - Columbia Leg Captl Preser E	A	Dividend	J	T	Buy (add'l)	04/15/16	J	
4.					Sold (part)	05/13/16	J	A	
5.	Future Scholar 529 - Columbia Leg Captl Preser E	A	Dividend	J	T	Buy (add'l)	04/15/16	J	
6.					Sold (part)	05/13/16	J	A	
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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 6 of 7

Name of Person Reporting

Waites, John E.

Date of Report

5/15/2017

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Waites, John E.

Date of Report

5/15/2017

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/ **John E. Waites**

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