

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/22/2019
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 01/01/2018 to 12/31/2018
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

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. 2018	FMI Corp W-2
2. 2018	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Cornell Law School	4/13/2018 - 4/15/2018	Ithaca, NY	Cornell Moot Court	Lodging, Meals
2. Eastern Bankruptcy Institute	May 31, 2018 - June 2, 2018	N. Myrtle Beach, SC	Eastern Bankruptcy Institute	Lodging
3. Federal Judicial Center	11/1/2018	Washington, DC	Mentor Luncheon for New Chief Judges Workshop	Travel
4. North Carolina Bar Association	11/1/2018 - 11/2/2018	Pinehurst, NC	Annual North Carolina Bar Bankruptcy Institute	Lodging, Meals
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.)*

<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.		
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	Interest	M	T					
2. Fidelity Capital Appreciation Fund	A	Dividend	K	T					
3. FMI 401K									
4. --R6 Eagle Small Cap Growth (Carillon) HSRUX	A	Dividend	L	T	Sold (part)	03/01/18	J		
5.					Sold (part)	06/30/18	J		
6.					Buy	09/30/18	K		
7.					Buy	12/01/18	K		
8. --Harbor Capital Appreciation Inst Div HACAX		None	M	T	Sold (part)	03/01/18	J		
9.					Sold (part)	06/01/18	K		
10.					Buy	09/30/18	K		
11.					Buy	12/01/18	K		
12. --Hartford Int'l Opp R5 IHOTX	A	Dividend	K	T	Sold (part)	03/01/18	J		
13.					Sold (part)	06/30/18	J		
14.					Buy	09/30/18	J		
15.					Buy	12/01/18	J		
16. --John Hancock Disc. Value JDVWX		None	L	T	Sold (part)	03/01/18	J		
17.					Sold (part)	06/01/18	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 = \$250,000.001 - \$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.					Sold (part)	09/30/18	J		
19.					Buy	12/01/18	K		
20. --MFS International Value R4 MINHX	A	Dividend	K	T	Sold (part)	03/01/18	J		
21.					Sold (part)	06/30/18	J		
22.					Buy	09/30/18	J		
23.					Buy	12/01/18	J		
24. --Metropolitan West Total Return Bond MWTRX	B	Int./Div.	K	T	Sold (part)	06/30/18	J		
25.					Buy	09/30/18	J		
26.					Sold (part)	12/01/18	J		
27. --Principal Real Estate Securities Inst. PIREX	C	Dividend	K	T	Sold (part)	03/01/18	J		
28.					Sold (part)	06/30/18	J		
29.					Sold (part)	09/30/18	J		
30.					Buy	12/01/18	J		
31. --Prudential Jennison Health Sciences PHSZX	B	Dividend	L	T	Sold (part)	03/01/18	J		
32.					Sold (part)	06/30/18	K		
33.					Sold (part)	09/30/18	J		
34.					Sold (part)	12/01/18	J		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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35. --TRowe Price Science and Tech/Adv PRSCX	A	Dividend	L	T	Sold (part)	03/01/18	J		
36.					Sold (part)	06/30/18	K		
37.					Buy	09/30/18	J		
38.					Buy	12/01/18	J		
39. -- Vanguard Mid Cap Index Admiral VIMAX	A	Dividend	L	T	Buy	03/01/18	J		
40.					Sold (part)	06/30/18	J		
41.					Buy	09/30/18	J		
42.					Buy	12/01/18	K		
43. --Wells Fargo Stable Return Fund N	D	Interest	O	T	Buy	03/01/18	K		
44.					Sold (part)	06/30/18	M		
45.					Sold (part)	09/30/18	L		
46.					Sold (part)	12/31/18	M		
47. --Wells Fargo/Blackrock S&P 500 Index		Dividend	K	T	Buy	11/1/18	K		
48. Etrade									
49. --1 Share S&P Midcap ETF (IJH)	A	Dividend	K	T					
50. --1 Share S&P Small Cap ETF (IJR)	A	Dividend	K	T					
51. --BTCS (Bitcoin)		None			Buy	01/03/18	J		

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52.					Buy	02/09/18	J		
53.					Sold	10/17/18	J		
54. --Recall Studio Inc. BTOP		None			Buy	03/16/18	J		
55.					Sold	11/09/18	J		
56. --SPDR S&P Small Capital Growth ETF (SLYG)	A	Dividend	J	T	Buy	11/09/18	J		
57.					Buy	12/27/18	J		
58.					Buy	12/28/18	J		
59. Vanguard Brokerage Acct									
60. --Vanguard S&P 500 Index ETF (VOO)	A	Dividend	L	T	Buy	12/13/18	J		
61.					Buy	12/26/18	J		
62. --Vanguard Short Term Tax Exempt VWSTX	A	Dividend			Sold	11/18/18	J		
63. --Vanguard Prime Money Mkt Fund VMMXX (checking)	A	Interest	L	T					
64. --Vanguard Large Capital ETF VV	A	Dividend	L	T	Buy	04/11/18	J		
65. ---Capital One Bank CD	B	Interest	M	T					
66. Edward Jones Joint - 1									
67. --SPDR High Yield ETF (JNK)	A	Dividend	K	T					
68. --EUFN	B	Dividend	K	T					

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69. --EWJ	A	Dividend	J	T					
70. --FBGX		None	K	T					
71. --FIEE UBS AG London BRIT		None	J	T					
72. --IEV I Shares Europe ETF	B	Dividend	L	T					
73. --FIGY	A	Dividend	J	T					
74. --IXN (ETF)	A	Dividend	K	T					
75. --IXP	A	Dividend	J	T					
76. --JP Morgan Municipal Fund (now called Morgan Stanley Money Market)	A	Interest							
77. --LQD (ETF)	C	Dividend			Sold	11/15/18	M		
78. --MBB (ETF)	A	Dividend	K	T					
79. --QQQ (ETF)	A	Dividend	L	T					
80. --TFI (ETF)	A	Dividend	K	T					
81. --XLG (ETF)	A	Dividend	K	T					
82. --XLF (ETF)	B	Dividend	J	T					
83. --XLP	A	Dividend	J	T					
84. --XLV (ETF)	A	Dividend	K	T					
85. --VIS	A	Dividend	J	T					

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86. --VWO	A	Dividend	J	T					
87. --Wells Fargo CD	B	Interest	L	T	Buy	01/26/18	L		
88. Janney, Montgomery, Scott (fka Scott&Stringfellow IRA -Managed Account									
89. --BP Capital Twin MLP Fund (BPMAX) Name Change HMSFX	A	Dividend	J	T					
90. --BAEIX (mutual fund)	D	Dividend	N	T					
91. --Cullen High Div. Equity Classic (CHVCX)	D	Dividend	M	T	Sold (part)	09/21/18	M		
92. --Federated Treasury Fund (cash acct)	A	Interest	J	T					
93. --Vanguard Value ETF VTV	B	Dividend	M	T	Buy	09/21/18	M		
94. Merrill Lynch Wealth Management - CMA #1									
95. --ALLSTATE CORP. Preferred Stock ALLPRA	A	Dividend	J	T					
96. --Eli Lilly (LLY)	A	Dividend	K	T					
97. --Intel (INTC)	A	Dividend	K	T					
98. --Merrill Lynch (FIA Card Services) Bank Deposit Program (cash)	A	Int./Div.	J	T					
99. --Nuveen Float Rate (JFR)	A	Dividend			Sold	04/05/18	J		
100. --Powershares Variable Rate (VRP)	B	Dividend	K	T					
101. Merrill Lynch Wealth Management - CMA #2									
102. --Merrill Lynch Bank Deposit Program	A	Interest	K	T					

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103. --Wells Fargo CD	B	Interest	K	T	Buy	02/20/18	K		
104. --BMW Bank CD	B	Interest	K	T	Buy	02/20/18	K		
105. --JP Morgan Chase Preferred	C	Dividend	L	T	Buy	09/17/18	L		
106. --Morgan Stanley Preferred	C	Dividend	L	T	Buy	08/27/18	L		
107. Merrill Lynch Wealth Management - IRA									
108. --Alger Spectra (ASPZX)		None	L	T					
109. --AMBFX	A	Dividend	J	T	Buy	11/16/18	J		
110. --Bank of America, NA, RAST (FIA Card Svc Cash (11AXX))	A	Int./Div.	J	T					
111. --BLACK ROCK CREDIT (BCX)	A	Dividend	J	T					
112. --BLACK ROCK CREDIT (BTZ)	A	Dividend			Sold	11/16/18	J		
113. --CSCO	A	Dividend	J	T	Buy	04/15/18	J		
114. --Clearbridge Energy (CEM)	A	Dividend			Sold	04/09/18	J		
115. --Credit Suisse		None	J	T					
116. --First Eagle (SG11X)	A	Dividend	K	T					
117. --Googl		None	J	T	Buy	02/12/18	J		
118. --Highland Global (HCOYX)	A	Dividend			Sold	02/21/18	J		
119. --Intel INTC	A	Dividend	J	T					

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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

08/22/2019

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. --INVESCO (VVR)	A	Dividend			Sold	02/14/18	K		
121. --Johnson & Johnson	A	Dividend			Sold	01/22/18	J	A	
122. --JFR-Nuveen Float	A	Interest			Sold	04/05/18	J		
123. --JP Morgan Global GAOSK	A	Dividend			Buy	04/15/18	J		
124.					Sold	11/19/18	J		
125. --Morgan Stanley Emerging -(EDD)	B	Dividend			Sold	11/16/18	J		
126. --MTUM	A	Dividend	K	T	Buy	04/15/18	K		
127. --Oakmark Int'l OAKIX	A	Dividend			Buy	04/15/18	K		
128.					Sold	11/19/18	K		
129. --Oppenheimer Dev (ODVYX)	A	Dividend	J	T					
130. --Oppenheimer Int'l (OIGYX)	A	Dividend	J	T	Sold (part)	11/19/18	J		
131. --Oppenheimer (RDIV)	B	Dividend	J	T	Buy	11/16/18	K		
132. --Powershares Preferred Portfolio (PGX)	A	Dividend	J	T					
133. --Proctor & Gamble (PG)	A	Dividend	K	T	Buy	02/12/18	J		
134. --Royal Dutch Shell RDSB	A	Dividend	J	T					
135. --Royal Dutch Shell RDSA	A	Dividend	J	T					
136. --SPDR		None	J	T	Buy	02/14/18	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.

Date of Report

08/22/2019

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. --Whirlpool WHR	A	Dividend			Sold	11/16/18	J		
138. --XLK	A	Dividend	J	T	Buy	02/12/18	J		
139. --XOM	A	Dividend	J	T	Buy	02/12/18	J		
140. Edward Jones IRA #1									
141. --AT&T	A	Dividend	J	T					
142. --Edward Jones Cash Account	A	Interest	J	T					
143. --Conoco Phillips	A	Dividend	J	T					
144. --Johnson & Johnson	A	Dividend	J	T					
145. --Tiffany & Co.	A	Dividend	J	T					
146. Edwards Jones IRA #2									
147. --Edwards Jones Cash Account	A	Interest	J	T					
148. --Tiffany & Co.	A	Dividend	J	T	Buy	12/04/18	J		
149. --Trust Energy Spyder ETF	A	Dividend	J	T	Buy	12/04/18	J		
150. --Vanguard GNMA Inv. Share	A	Dividend			Sold	12/04/18	J		
151. Edward Jones Single One									
152. --Edward Jones Cash Account	A	Interest							
153. --American Funds TAIAX	A	Dividend	K	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 \$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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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. --Goldman Sachs CD	A	Interest	K	T					
155. --Lincoln Life Ins.	A	Dividend	L	T					
156. --Prudential Prem. Ret. Contract Annuity	C	Dividend	L	T					
157. --Raleigh Durham Airport Bond	A	Interest	K	T					
158. Edward Jones Single Two					Closed	03/26/18	K		
159. --John Hancock Bond Fund (JHBIX)	A	Dividend			Sold	03/26/18	K		
160. --Lord Abbott Short Duration (LDLFX)	A	Dividend			Sold	03/26/18	J		
161. Edward Jones Single Three									
162. --Edwards Jones Cash Account (Transferred to EJ Single 4)	A	Interest			Closed	03/19/18	L		
163.					Closed	03/26/18	J		
164. --BellSouth Corp Bond	A	Dividend			Sold	03/19/18	J		
165. --Dallas Co. Tex Hosp Bond	A	Dividend			Sold	03/19/18	J		
166. --Dallas Tex Transit Bid American Bonds	A	Dividend			Sold	03/19/18	J		
167. --GE Cap Bond	A	Dividend			Sold	03/19/18	J		
168. --McDonald's Corp. Bond	A	Dividend			Sold	03/19/18	J		
169. --Metro Transit Auth Rev Bond	A	Dividend			Sold	03/19/18	J		
170. Edward Jones Single 4									

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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08/22/2019

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. --Edward Jones Cash Account (backed by PNC Bank)	A	Interest	J	T					
172. --Amazon (AMZN)		None	K	T	Buy	03/26/18	J		
173. --APY		None	J	T	Buy	07/01/18	J		
174. --AT&T (T)	A	Dividend	J	T	Buy	03/26/18	J		
175. --DollarGen (DG)	A	Dividend	J	T	Buy	03/26/18	J		
176. --Dover Corp (DOV)	A	Dividend	J	T	Buy	03/26/18	J		
177. --Emerson Electric (EMR)	A	Dividend	J	T	Buy	03/26/18	J		
178. --Exxon Mobile (XOM)	A	Dividend	J	T	Buy	03/26/18	J		
179. --Johnson & Johnson (JNJ)	A	Dividend	J	T	Buy	03/26/18	J		
180.					Buy	12/20/18	J		
181. --LINDE PLC (LIN)	A	Dividend	J	T	Buy	10/31/18	J		
182. --Microsoft (MSFT)	A	Dividend	J	T	Buy	03/26/18	J		
183.					Buy	12/03/18	J		
184. --Praxair (PX)	A	Dividend			Buy	03/26/18	J		
185.					Sold	10/31/18	J		
186. --Proctor & Gamble (PG)	A	Dividend	J	T	Buy	03/26/18	J		
187. --Target (TGT)	A	Dividend	J	T	Buy	03/26/18	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 \$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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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.)

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	(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)
188. --United Tech (UTX)	A	Dividend	J	T	Buy	03/26/18	J		
189. --Ventas (VTR)	A	Dividend	J	T	Buy	03/26/18	J		
190. --Verizon (VZ)	A	Dividend	J	T	Buy	03/26/18	J		
191. --Invesco XSLV	A	Dividend	J	T	Buy	03/29/18	J		
192. --Invesco XMLV	A	Dividend	J	T	Buy	03/29/18	J		
193. --Ishares DGRO	A	Dividend	K	T	Buy	03/29/18	K		
194. --Ishares ITA	A	Dividend	J	T	Buy	03/29/18	J		
195. --Ishares IBB	A	Dividend	J	T	Buy	03/29/18	J		
196. --Spyder XLP	A	Dividend	J	T	Buy	03/29/18	J		
197. --Spyder XLU	A	Dividend	J	T	Buy	03/29/18	J		
198. --Vanguard VFH	A	Dividend	J	T	Buy	03/29/18	J		
199. Durham Arvin Partnership		None	L	W					
200. FMI Corp. Stock	G	Distribution	N	U					
201. Nationwide Whole Life Insurance		None	J	T					
202. North State Bank Acct	A	Interest	J	T					
203. Bank of America Bank Account	A	Interest	J	T					
204. Equitable Life Insurance (Cash value)	A	Dividend	L	T					

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		

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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)
205. --Charter Small Cap Value	A	Dividend	J						
206. --Eq / 500 Managed Volatility	A	Dividend	J						
207. --Eq / Commom Stock Index	A	Dividend	J						
208. --Eq / Large Cap Value Managed Volatility	A	Dividend	J						
209. --Guaranteed Interest Acct.	A	Interest	K						
210. --Multimanager Mid-Cap Growth	A	Dividend	J						
211. Alpine 4 Technologies Ltd	A	Dividend	J	T					
212. AXA Advisors									
213. --JP Morgan CD 48128FAXO	A	Interest	L	T	Buy	05/29/18	L		
214. --JP Morgan CD 48126Y7K3	A	Interest	K	T	Buy	05/29/18	K		
215. --JP Morgan CD 48126Y7L1	A	Interest	K	T	Buy	05/29/18	K		
216. --JP Morgan CD 48126Y7N7	A	Interest	K	T	Buy	05/29/18	K		
217. --JP Morgan CD - Contingent Yield (8/30/19)	A	Interest	K	T	Buy	05/29/18	K		
218. --JP Morgan CD - Contingent Yield (10/31/19)	A	Interest	K	T	Buy	07/26/18	K		
219.									

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII

Line 66 - All holdings in Fisher/Morgan Stanley Man. Inv. Acct transferred into new Edward Jones Joint - 1 Acct. on January 31, 2018. No sales of stock, just transfers.

Line 76 - Funds in money market converted to cash and used for purchases in Edward Jones accounts.

Line 102 - Cash transferred into account from personal savings.

Line 152 - Cash transferred from Edward Jones Single One account into Edward Jones Single Four account.

Line 158 - All assets, except John Hancock Bond Fund (JHBIX) and Lord Abbott Short Duration (LDLFX), transferred to Edward Jones Single Four. JHBIX and LDLFX sold while held in Edward Jones Single One.

Line 162 - See explanation for Line 158, above.

Lines 102, 142, 147, 152, 162 and 171 - These are cash accounts kept with the respective investment venders. The cash is the result of the sale of stocks, bonds, etc. without immediate reinvestment for the purchase of other stocks, bonds, etc. Line 102 is a cash account with Merrill Lynch entitled "Merrill Lynch Bank Deposit Program." Lines 142, 147, 152, 162, and 171 represent cash accounts held within Edward Jones for each separate investment. There are no other financial institutions involved, except that the Edward Jones cash account on Line 171 is backed by PNC Bank.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544