

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) Warren, David M.	2. Court or Organization U.S. Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 5/11/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Century Station Post Office and Courthouse 300 Payetteville Street, Room 323 Raleigh, NC 27601-1749		
IMPORTANT NOTES: <i>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>		

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. Chairman	FRMT, Ltd.
2. Chairman	Turner W. Battle Scholarship Trust (Rocky Mount Academy)
3. Director	Paramount Condominium Homeowners Association, Inc.
4. President	9 Shearwater Street Condominium Owners Association, Inc.
5. Manager	9 Shearwater LLC
6. Manager	Roofjumpers LLC
7. Manager	McLash LLC
8. Adjunct Professor	Norman A. Wiggins School of Law (Campbell University)
9.	

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. 1/1/1991	Poyner Spruill LLP Retirement Plan, former law firm. This is a qualified pension plan that was discontinued in approximately 1991.
2.	

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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. 9/17/18	Campbell University -Salary	\$1,539.00
2. 10/22/18	Campbell University-Salary	\$1,539.00
3. 11/14/18	Campbell University-Salary	\$1,539.00
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.	
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.	American Bankruptcy Institute	7/26-29/18	Amelia Island, FL	Seminar	transportation, lodging food
2.	Eastern Bankruptcy Institute, Inc.	6/1-3/2018	Myrtle Beach, SC	Seminar	transportation, lodging, food
3.	FRMT Ltd.	6/6-7/2018	Indianapolis, IN	Board Meeting	transportation, lodging, food
4.	FRMT Ltd.	4/18-19/2018	Chicago, IL	Board Meeting	transportation, lodging, food
5.	Kappa Alpha Order	11/15-16/2018	Winston-Salem, NC	Board Meeting	transportation, lodging, food
6.	National Conference of Bankruptcy Judges	10/27-31/2018	San Antonio, TX	Annual Meeting	lodging

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7.	N.C. Bar Association	11/1-2/2018	Pinehurst, NC	NC Bar Association Annual Bankruptcy Institute	lodging
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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.	Sound Bank	Personal Guaranty on Loan to a Limited Liability Company	M
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. Purchasee Money Mortgage Held by LLC	D	Dividend	L	T					
2. Rental Raleigh, Wake County, NC (50% interest)	D	Rent	M	W					
3. House, Investment, Littleton, NC (50% interest)		None	O	W					
4. House, Wrightsville Beach, NC (1/3 interest)		None	N	W					
5. Northwestern Mutual Life Whole Life Policy	C	Dividend	M	T					
6. National Life Whole Life Policy	B	Dividend	K	T					
7. Mutual Trust Whole Life Policy	A	Dividend	K	T					
8. Allergan PLC (AGN) DIRA	A	Dividend			Sold	05/23/18	K	A	
9. Anheuser-Busch Inbev (BUD DIRA)	B	Dividend	K	T					
10. B&G Foods (BGS) DIRA	B	Dividend	K	T	Buy	01/11/18	K		
11. Boeing (BA) DIRA	B	Dividend			Sold	1/22/18	M	F	
12. Clorox (CLX) DIRA	B	Dividend	L	T					
13. Coca Cola (KO) DIRA	B	Dividend	K	T					
14. Conagra Foods (CAG) DIRA	A	Dividend			Sold	05/23/18	K	D	
15. Cummins (CMI) DIRA	B	Dividend	K	T					
16. Dieago (DEO) DIRA	A	Dividend	K	T					
17. Disney Walt Co (DIS) DIRA	A	Dividend	K	T	Buy	02/08/18	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 = \$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	
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18. Dominion Energy Inc (D) DIRA	B	Dividend	K	T	Buy	01/11/18	K		
19. Eaton Corp (ETN) DIRA	B	Dividend	K	T					
20. Emerson Electric (EMR) DIRA	A	Dividend	K	T					
21. Exxon Mobil (XOM) DIRA	B	Dividend	K	T					
22. Garrett Motion Inc (GTX) DIRA	A	Dividend	J	T	Spinoff (from line 27)	10/01/18	J		
23. General Electric (GE) DIRA	A	Dividend	K	T					
24. General Mills (GIS) DIRA	A	Dividend	K	T					
25. Heineken (HEINY) DIRA	A	Dividend	K	T					
26. Hershey Company DIRA	A	Dividend	K	T					
27. Honeywell (HON) DIRA	A	Dividend	K	T					
28. International Flavors & Fragrances (IFF) DIRA	A	Dividend	K	T	Buy	02/20/18	K		
29. Johnson & Johnson (JNJ) DIRA	B	Dividend	K	T					
30. International Paper (IP) DIRA	B	Dividend	K	T	Buy	02/16/18	K		
31. Johnson Controls (JCI) DIRA	A	Dividend			Sold	02/06/18	K	A	
32. Kellogg (K) DIRA	B	Dividend	K	T					
33. Kimberly-Clark (KMB) DIRA	A	Dividend	K	T					
34. Kraft Heinz Company (KHC) DIRA	B	Dividend	K	T					

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35. Leggett & Platt (LEG) DIRA	A	Dividend			Sold	09/24/18	K	A	
36. Marriot International (MAR) DIRA	A	Dividend	K	T	Buy	08/22/18	K		
37. Martin Marietta Materials (MLM) DIRA	A	Dividend	K	T					
38. McCormick & Co. (MCK) DIRA	B	Dividend	L	T					
39. 3 M (MMM) DIRA	B	Dividend	K	T					
40. Nestle (NSRGY) DIRA	B	Dividend	K	T					
41. Pepsico (PEP) DIRA	B	Dividend	L	T					
42. Proctor & Gamble (PG) DIRA	B	Dividend	L	T	Buy (add'l)	01/26/18	K		
43. Resideo Technologies (REZ) DIRA	A	Dividend	J	T	Spinoff (from line 27)	10/29/18	J		
44. Royal Dutch Shell (RDSB) DIRA	B	Dividend	K	T					
45. Smucker (SJM) DIRA	A	Dividend	K	T					
46. Tupperware (TUP) DIRA	A	Dividend	K	T	Buy	06/20/18	K		
47. Tutor Perini Corp. (TPC) DIRA	A	Dividend	K	T	Buy	01/09/18	K		
48. Unilever PLC (UN) DIRA	A	Dividend	K	T					
49. United Technologies (UTX) DIRA	B	Dividend	L	T					
50. Verizon (VZ) DIRA	A	Dividend			Sold	08/08/18	K	C	
51. Fidelity Cash Reserves DIRA	A	Dividend	M	T					

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52.									
53. First Citizens Bank A DAméri	A	Dividend	K	T					
54. First Citizens Bank B Preferred DAméri	A	Dividend	K	T					
55. General Mills (GIS) DAméri	A	Dividend	J	T					
56. Kellogg (K) DAméri	A	Dividend	J	T					
57. Cenovus Energy (CVE) DAméri	A	Dividend	J	T					
58. Amerprise Insured Money Market DAméri	A	Interest	J	T					
59.									
60. Fidelity Equity Income/Cash Reserves (DMW/MMW)	A	Dividend	J	T					
61.									
62. American Electric & Power (AEP) BenIRA	C	Dividend	M	T					
63. Anheuser Busch Inbev (BUD) BenIRA	B	Dividend	K	T					
64. Coca Cola (KO) BenIRA	C	Dividend	L	T					
65. Exelon (EXC) BenIRA	C	Dividend	L	T					
66. FirstEnergy (FE) BenIRA	B	Dividend	L	T					
67. General Mills (GIS) BenIRA	B	Dividend	L	T					
68. Kellogg (K) BenIRA	A	Dividend	K	T					

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69. Kinder Morgan (KMI) BenIRA	A	Dividend	J	T					
70. Smucker (SJM) BenIRA	B	Dividend	K	T					
71. Fidelity Government Cash Reserves BenIRA	A	Dividend	L	T					
72.									
73. Fidelity Equity Income (MMW)	A	Dividend	J	T					
74.									
75. Fidelity Equity Income (KLB)	A	Dividend	J	T					
76.									
77. Vanguard Mutual Fund (401k) merge with Fidelity 2/2018	A	Dividend	J	T					
78.									
79. Allegion (ALLE) KLBIRA	A	Dividend	J	T					
80. Anheuser-Busch Inbev (BUD) KLBIRA	A	Dividend	J	T					
81. Apple (AAPL) KLBIRA	A	Dividend	J	T					
82. Campbell Soup (CPB) KLBIRA	A	Dividend	J	T					
83. Clorox (CLX) KLBIRA	A	Dividend	J	T					
84. Coco Cola (KO) KLBIRA	A	Dividend	J	T					
85. Conagra (CAG) KLBIRA	A	Dividend			Sold	05/23/18	J	D	

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86. Cummins Inc. (CMI) KLBIRA	A	Dividend	J	T					
87. Dominion Energy (D) KLBIRA	A	Dividend	J	T	Buy	06/20/18	J		
88. DowDupont(DWDP) KLBIRA	A	Dividend	J	T					
89. Eaton (ETN) KLBIRA	A	Dividend	J	T					
90. Exxon Mobil (XOM) KLBIRA	A	Dividend	J	T					
91. Garrett Motion Inc. (GTX) KLBIRA	A	Dividend	J	T	Spinoff (from line 93)	10/01/18	J		
92. General Electric (GE) KLBIRA	A	Dividend	J	T					
93. Honeywell (HON) KLBIRA	A	Dividend	J	T					
94. Ingersoll-Rand PLC (IR) KLBIRA	A	Dividend	J	T					
95. Kellogg (K) KLBIRA	A	Dividend	J	T					
96. Kimberly Clark (KMB) KLBIRA	A	Dividend	J	T					
97. 3M Company (MMM) KLBIRA	A	Dividend	J	T					
98. McCormick & Co. (MKC) KLBIRA	A	Dividend	J	T					
99. Nestle (NSRGY) KLBIRA	A	Dividend	J	T					
100. Pepsico (PEP) KLBIRA	A	Dividend	J	T					
101. Proctor & Gamble (PG) KLBIRA	A	Dividend	J	T					
102. Prudential Financial (PRU) KLBIRA	A	Dividend	J	T	Buy	06/20/18	J		

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103. Resideo Technologies (REZ) KLBIRA	A	Dividend	J	T	Spinoff (from line 93)	10/31/18	J		
104. Seimens (SIEGY) KLBIRA	A	Dividend	J	T					
105. Smucker (SJM) KLBIRA	A	Dividend	J	T					
106. Sonoco (SON) KLBIRA	A	Dividend	J	T					
107. Tupperware (TUP) KLBIRA	A	Dividend	J	T	Buy	06/20/18	J		
108. Unilever (UL) KLBIRA	A	Dividend	J	T					
109. United Technologies (UTX) KLBIRA	A	Dividend	J	T					
110. Fidelity Government Cash Reserves KLBIRA	A	Dividend	K	T					
111.									
112.									

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

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Name of Person Reporting	Date of Report
Warren, David M.	5/11/2019

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

Part I

Line 2: The Turner W. Battle Scholarship Trust is an asset of Rocky Mount Academy. David M. Warren has no ownership interest in the funds of approximately \$500,000. The interest from the principal is used to fund educational scholarships for students attending Rocky Mount Academy in Rocky Mount, NC.

Part II:

Line 1: The Poyner Spruill LLP Retirement Plan (pension) is currently underfunded but is insured by the Pension Benefit Guaranty Corp. David M. Warren does not have information on the performance of the pension plan and has not made contributions or withdrawals. He has no liability for its performance. The entry regarding this asset was removed from Part VII (listed in 2014 on line 8) as it is correctly reported as a pension interest in Part II.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Warren, David M.

Date of Report

5/11/2019

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/ David M. Warren**

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