

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 12/17/2014
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 ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 06/14/2014
7. Chambers or Office Address Century Station Post Office and Courthouse 300 Payetteville Street, Room 323 Raleigh, NC 27601-1749		
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. 1991	Poyenr Spruill LLP Retirement Plan, former law firm. This is a qualified pension plan that was discontinue in approximately 1991 when the firm moved to a 401(k)
2.	plan. I do not know how the pension money is invested, and I will receive my share upon retirement age at a designated monthly amount which is calculated under
3.	the terms of the plan.

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Warren, David M.

Date of Report

12/17/2014

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. 2013	Poyner Spruill LLP/Partner Distribution (this was partner compensation as a lawyer)	\$302,998.00
2. 2014	Poyner Spruill LLP/Partner Distribution (this was partner compensation as a lawyer)	\$13,554.00
3. 2012	Poyner Spruill LLP/Partner Distribution (this was partner compensation as a lawyer)	\$373,525.00
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.)*

DATE	SOURCE AND TYPE
1. 2013	Williams Mullen LLP/Salary
2. 2013	Williams Mullen LLP/Salary
3. 2014	Smith Moore Leatherwood LLP/ Salary
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Warren, David M.

Date of Report

12/17/2014

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.	Wells Fargo Bank, NA	Mortgage on Rental Property in Raleigh, NC	M
2.	PNC Bank, NA	2nd Mortgage on Rental Property in Raleigh, NC	J
3.	Southern Bank	Mortgage on Rental Property in Rocky Mount, NC	L
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Warren, David M.

Date of Report

12/17/2014

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. Rental Rocky Mount, NC	E	Rent	L	W					
2. Rental Raleigh, NC (50% int)	D	Rent	M	W					
3. House, Wrightsville Beach, NC (17% int)		None	M	W					
4. Northwestner Mutual Life Whole Life Policy	B	Dividend	L	T					
5. National Life Whole Life Policy	B	Dividend	L	T					
6. Mutual Trust Whole Life Policy	A	Dividend	L	T					
7. Poyner Spruill LLP Law Firm		None	K	T					
8. Poyner Spruill LLP Retirement Plan (pension)		None							Did not contribute to plan.
9. Eaton Corp	B	Dividend	K	T					
10. Bank of America Common Stock	B	Dividend	J	T					
11. Clorox	B	Dividend	K	T					
12. Deere & Co.	B	Dividend	K	T					
13. Dieago	B	Dividend	J	T					
14. Heineken	B	Dividend	K	T					
15. Kellogg	B	Dividend	K	T					
16. Nestle	B	Dividend	K	T					
17. Pepsico	B	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Warren, David M.

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18. Proctor & Gamble	B	Dividend	K	T					
19. Sonoco	B	Dividend	K	T					
20. McCormick & Co	A	Dividend	J	T					
21. Sysco	A	Dividend	J	T					
22. General Mills	A	Dividend	K	T					
23. Coca Cola	A	Dividend	K	T					
24. Conagra Foods	A	Dividend	K	T					
25. General Electric	A	Dividend	K	T					
26. IBM	A	Dividend	K	T					
27. Kraft Foods	A	Dividend	K	T					
28. Pinnacle Foods	A	Dividend	K	T					
29. Snyders-Lance	A	Dividend	K	T					
30. Fidelity Cash Reserves	A	Dividend	N	T					
31. Pimco Total Returns	A	Dividend	J	T					
32. Fidelity Puritan	B	Dividend	L	T					
33. American Growth Fund	B	Dividend	L	T					
34. Vamguard 500 Index	D	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Warren, David M.

Date of Report

12/17/2014

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35. Primecap Odyssey Aggressive Growth	E	Dividend	M	T					
36. Ivy Mid Cap Growth 1	D	Dividend	M	T					
37. Keeley Small Cap Value	F	Dividend	L	T					
38. American New Prospective	D	Dividend	L	T					
39. cohen & Steers Realty Shares	A	Dividend	M	T					
40. Mainstay High Yield Corp Bd A	A	Dividend	K	T					
41. American Electric and Power	A	Dividend	K	T					
42. First Citizens Bank A	A	Dividend	K	T					
43. First Citizens Bank B Preferred	A	Dividend	J	T					
44. Eli Lilly & Company	A	Dividend	K	T					
45. Pepco Holdings	A	Dividend	J	T					
46. Petroleo Brasileiro	A	Dividend	J	T					
47. Zimmer Holdings	A	Dividend	J	T					
48. Amerprise Insured Money Market	A	Interest	J	T					
49. Gateway Bank Certificate of Deposit	A	Interest	J	T					
50. Fidelity Equity Income	A	Dividend	J	T					
51.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Warren, David M.

Date of Report

12/17/2014

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Warren, David M.

Date of Report

12/17/2014

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
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