

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Whitley, James C.	2. Court or Organization Bankruptcy Court-WDNC	3. Date of Report 08/06/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address Charles R. Jonas Federal Bldg. 401 W. Trade Street Charlotte, NC 28202		
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.	Attorney-in-fact	Trust #1
2.	Trustee	Trust #2
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. 2012

Vickie Lathe Whitley, Attorney at Law

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. NC Bar Association Annual
Bankruptcy Seminar

11/8/2012 - 11/9/2012

Greensboro, North Carolina

Attend State Bankruptcy
Seminar

Meals, hotel and transportation.

2.

3.

4.

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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Name of Person Reporting

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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. CBF Agg Growth Fund	A	Dividend	K	T					
2. CBF Agg Growth Fund	A	Dividend	K	T					
3. LM Cap Mgmt Leading Co Tr f/k/a LM Leading Co Tr	A	Dividend	J	T					
4. American Funds New Perspective Mutual Fund	B	Dividend	M	T					
5. American Funds Washington Mutual Funds	B	Dividend	M	T					
6. Vickie Lathe Whitley, P.C.	F	Distribution	K	W					
7. American Funds Washington Mutual Funds	A	Dividend	J	T					
8. American Funds. Templeton Foreign Mutual Fund	A	Dividend	J	T					
9. RBC Money Market Sweep	A	Interest	K	T					
10. American Funds. New Perspective Mutual Fund	A	Dividend	K	T					
11. Belmont Federal Savings & Loan Account	A	Interest	J	T					
12. American Funds Templeton Dev Mkt Foreign Mutual Fund	A	Dividend	J	T					
13. American Funds Washington Mutual Funds	A	Dividend	J	T	Sold (part)	12/19/12	J	A	
14. Growth Fund American Mutual Fund	A	Dividend	J	T	Sold (part)	12/19/12	J	B	
15. Black Rock US Opp Class C		None	J	T					
16. Legg Mason Special Investment Trust		None	J	T					
17. American Funds New Perspective Mutual Fund	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 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. Legg Mason Value Trust Mutual Fund		None	J	T					
19. Legg Mason Cap Mgmt Sp Inv Tr f/k/a Legg Mason Sp Inv Tr. *	A	Dividend	J	T					
20. Royce Total Return Fund, a/k/a/ Royce FD *	A	Dividend	K	T					
21. RBC Money Market Savings Acct	A	Interest	J	T					
22. Europac Growth Fund	A	Dividend	J	T	Sold (part)	12/19/12	J		
23. Invesco Aim Constellation Mutual Fund		None	K	T					
24. Wachovia Bank Various Accounts	A	Interest	K	T					
25. TRUST 1:									
26. Belmont Federal Various Accounts	A	Interest	K	T					
27. Wachovia Various Accounts	A	Interest	L	T					
28. Legg Mason Global Income Trust	A	Dividend	J	T					
29. Doral Bank Catano CD	A	Interest			Redeemed	02/08/12	L		
30. Spectra Energy	A	Dividend	K	T					
31. Firstbank PR Santurce CD	B	Interest			Redeemed	11/14/12	L		
32. HSBC Bank USA McLean CD	A	Interest			Redeemed	10/29/12	K	A	
33. Belmont Federal Various Accounts	A	Interest	K	T					
34. Wachovia Various Accounts	A	Interest	L	T					

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35. Asset Group #1:									
36. Rental Property, Charlotte, NC	D	Rent	M	W					
37. TRUST 2: *									
38. Residential Lot #1, Gaston County, NC		None	M	W					
39. Residential Lot #2, Gaston County, NC		None	K	W					
40. Residential Lot #3, Gaston County, NC		None	K	W					
41. Residential Lot #4, Gaston County, NC		None	J	W					
42. Residential Lot #5, Gaston County, NC		None	J	W					
43. Residential Lot #6, Gaston County, NC		None	J	W					
44. Residential Lot #7 (1/2 Interest) Gaston County, NC		None	K	W					
45. Residential Lot #8 (1/2 Interest) Gaston County, NC		None	J	W					
46. Residential Lot #9 (1/2 Interest) Gaston County, NC		None	J	W					
47. Residential Lot #10 (1/2 Interest) Gaston County, NC		None	J	W					
48. Residential Lot #11 (1/2 Interest) Gaston County, NC		None	J	W					
49. Residential Lot #12 (1/2 Interest) Gaston County, NC		None	J	W					
50. Belmont Federal Various Accounts	A	Interest	K	T	Open	12/12/12	J		
51. Wachovia Various Accounts	A	Interest	L	T	Open	12/19/12	J		

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52. RBC Money Market Sweep Acct	A	Interest			Closed	12/19/12	J		
53. Invesco AIM Investments European Growth Fund Class A	A	Dividend	K	T					
54. American Funds Capital World Bond Fund Class A	B	Dividend	M	T					
55. American Funds Europacific Growth Fund Class A	A	Dividend	K	T					
56. American Funds Growth Fund of America Class A	A	Dividend	M	T					
57. American Funds Investment Co of America Class A	B	Dividend	M	T					
58. Capital World Bond Fund	B	Dividend	M	T					
59. Barclays BK/DEL CD	A	Interest	J	T					
60. Capitol One Bank CD	C	Interest	L	T					
61. LaSalle Bank CD	B	Interest	K	T					
62. Goldman Sachs Bank CD	A	Interest	K	T					
63. Mercantile Bank f/k/a Merchant Bank Orlando CD	C	Interest	L	T					
64. Union Bank NA CD	A	Interest	K	T	Buy	02/08/12	K		
65. Harris National Association CD	A	Interest	K	T					
66. Bank of the West CD	A	Interest	L	T					
67.									
68.									

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103.									

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

Part VII, #19 - Correct error in 2011 report. May 5 sale was partial, not entire. 2011 Annual income was "A" "Div." Gross ending value "J" based on "I" market valuation.

Part VII, #20 - Previously reported as Royce FD in original 2011 report. Full name is "Royce FD Total Return FD Consultant Solicited."

Part VII, #37-66 These assets were transferred and/or divided between fiduciary accounts (Trust 1 to Trust 2) without a reportable transfer. Only reportable 2012 transactions are those listed in Part D (13-14, 22, 29, 31-32, 48-50, and 62)

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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/ James C. Whitley**

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