

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 02/17/2021
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address Century Station Post Office and Courthouse 300 Fayetteville 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.)

<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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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<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.	FRMT, Ltd.	10/18/2019	Lexington, SC	Committee Meeting	transportation, lodging food
2.	Eastern Bankruptcy Institute, Inc.	5/30-31/2019	Myrtle Beach, SC	Seminar	transportation, lodging, food
3.	FRMT Ltd.	3/10-13/2019	Tucson, AZ	Seminar	transportation, lodging, food
4.	FRMT Ltd.	4/11-13/2019	Indianapolis, IN	Board Meeting	transportation, lodging, food
5.	FRMT Ltd.	10/17/2019	Atlanta, GA	Committee Meeting	transportation, lodging, food
6.	FRMT, Ltd.	11/8/2019	Nashville, TN	Committee Meeting	transportation, food

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7.	Kappa Alpha Order Educational Foundation	4/4-5/2019	Destin, FL	Board Meeting	food
8.	Kappa Alpha Order	7/31-8/4/2019	New Orleans, LA	Board Meeting, Convention	transportation, lodging, food
9.	National Conference of Bankruptcy Judges	10/29-11/2/2019	Washington, DC	Annual Meeting	lodging
10.	N.C. Bar Association	11/21-23/2019	Wilmington, NC	NC Bar Association Annual Bankruptcy Institute	lodging, food

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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 9 Shearwater LLC (Wrightsville Beach, NC hous3)	M
2.		
3.		
4.		
5.		

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. Purchase Money Mortgage Held by McLash LLC	D	Dividend	K	T					
2. Rental Raleigh, Wake County, NC (50% interest)	C	Rent			Sold	08/02/19	N	E	Mary C. Bigelow
3. House, Investment, Littleton, NC (50% interest)		None			Sold	03/29/19	O	A	Jan and May Muuse
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. Anheuser-Busch Inbev (BUD DIRA	A	Dividend	K	T					
9. B&G Foods (BGS) DIRA	B	Dividend	J	T					
10. Caterpillar, Inc. (CAT) DIRA	A	Dividend	K	T	Buy	07/02/19	K		
11. Clorox (CLX) DIRA	B	Dividend	L	T					
12. Coca Cola (KO) DIRA	B	Dividend	K	T					
13. Cummins (CMI) DIRA	B	Dividend	K	T					
14. Dieago (DEO) DIRA	B	Dividend	L	T					
15. Disney Walt Co (DIS) DIRA	A	Dividend	K	T					
16. Dominion Energy Inc (D) DIRA	B	Dividend	K	T					
17. Eaton Corp (ETN) DIRA	A	Dividend	K	T	Sold (part)	06/18/19	K	D	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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18. Emerson Electric (EMR) DIRA	A	Dividend	K	T					
19. Exxon Mobil (XOM) DIRA	B	Dividend	K	T					
20. Garrett Motion Inc (GTX) DIRA	A	Dividend			Sold	01/02/19	J	A	
21. General Electric (GE) DIRA	A	Dividend	J	T					
22. General Mills (GIS) DIRA	A	Dividend	K	T					
23. Heineken (HEINY) DIRA	A	Dividend	K	T					
24. Hershey Company DIRA	A	Dividend	K	T					
25. Honeywell (HON) DIRA	A	Dividend	K	T					
26. International Flavors & Fragrances (IFF) DIRA	A	Dividend	K	T					
27. Johnson & Johnson (JNJ) DIRA	B	Dividend	K	T					
28. International Paper (IP) DIRA	B	Dividend	K	T					
29. Kellogg (K) DIRA	B	Dividend	K	T					
30. Kimberly-Clark (KMB) DIRA	A	Dividend	K	T					
31. Kraft Heinz Company (KHC) DIRA	A	Dividend			Sold	04/18/19	K	A	
32. Lockheed Martin Corp (LMT) DIRA	A	Dividend	K	T	Buy	04/10/19	K		
33. Marriott International (MAR) DIRA	A	Dividend	K	T					
34. Martin Marietta Materials (MLM) DIRA	A	Dividend			Sold	04/17/19	K	B	

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	
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35. McCormick & Co. (MCK) DIRA	B	Dividend	L	T					
36. 3 M (MMM) DIRA	B	Dividend	K	T					
37. Nestle (NSRGY) DIRA	B	Dividend	K	T					
38. Parker-Hannifin Corp	A	Dividend	K	T	Buy	05/31/19	K		
39. Pepsico (PEP) DIRA	B	Dividend	L	T					
40. Proctor & Gamble (PG) DIRA	A	Dividend			Sold	04/16/19	L	E	
41. Resideo Technologies (REZ) DIRA	A	Dividend			Sold	01/02/19	J	A	
42. Royal Dutch Shell (RDSB) DIRA	B	Dividend	K	T					
43. Smucker (SJM) DIRA	A	Dividend	K	T					
44. Tupperware (TUP) DIRA	A	Dividend			Sold	04/16/19	K	A	
45. Tutor Perini Corp. (TPC) DIRA	A	Dividend			Sold	06/18/19	J	A	
46. Unilever PLC (UN) DIRA	B	Dividend	K	T					
47. United Technologies (UTX) DIRA	B	Dividend	L	T					
48. Westrock Co.	A	Dividend			Buy	05/10/19	K		
49. Westrock Co.	A	Dividend			Sold	09/16/19	K	A	
50. Westrock Co.	A	Dividend			Buy	10/08/19	K		
51. Westrock Co.	A	Dividend			Sold	10/29/19	K	C	

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52. WABTEC CORP	A	Dividend			Spinoff (from line 21)	02/26/19	J		
53. WABTEC CORP	A	Dividend			Sold	03/19/19	J	A	
54. Fidelity Cash Reserves DIRA	A	Dividend	M	T					
55.									
56. First Citizens Bank A DAmeri	A	Dividend			Buy	08/07/19	K		
57. First Citizens Bank A DAmeri	A	Dividend			Sold	09/03/19	K	B	
58. First Citizens Bank A DAmeri	A	Dividend			Sold	09/03/19	K	E	
59. First Citizens Bank B Preferred DAmeri	A	Dividend	K	T					
60. General Mills (GIS) DAmeri	A	Dividend	J	T					
61. Kellogg (K) DAmeri	A	Dividend	J	T					
62. Cenovus Energy (CVE) DAmeri	A	Dividend	J	T					
63. Fidelity Covington HD ETF DAmeri	A	Dividend			Buy	09/09/19	K		
64. Fidelity Covington HD ETF DAmeri	A	Dividend			Sold	12/10/19	K	B	
65. Amerprise Insured Money Market DAmeri	A	Interest	J	T					
66.									
67. Fidelity Equity Income/Cash Reserves (DMW [REDACTED])	A	Dividend	J	T					
68.									

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69. American Electric & Power (AEP) [REDACTED] IRA	C	Dividend	M	T					
70. Anheuser Busch Inbev (BUD) [REDACTED] IRA	B	Dividend	L	T					
71. Coca Cola (KO) [REDACTED] IRA	C	Dividend	L	T					
72. Exelon (EXC) [REDACTED] IRA	C	Dividend	L	T					
73. FirstEnergy (FE) [REDACTED] IRA	C	Dividend	L	T					
74. General Mills (GIS) [REDACTED] IRA	B	Dividend	L	T					
75. Kellogg (K) [REDACTED] IRA	A	Dividend	K	T					
76. Kinder Morgan (KMI) [REDACTED] IRA	A	Dividend	K	T					
77. Smucker (SJM) [REDACTED] IRA	B	Dividend	L	T					
78. Fidelity Government Cash Reserves [REDACTED] IRA	A	Dividend	L	T					
79.									
80. Fidelity Equity Income ([REDACTED])	A	Dividend	J	T					
81.									
82. Fidelity Equity Income ([REDACTED])	A	Dividend	J	T					
83.									
84. Vanguard Mutual Fund (401k) merge with Fidelity 2/2018	A	Dividend	J	T					
85.									

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86. Allegion (ALLE) [REDACTED] IRA	A	Dividend			Sold	01/02/19	J	B	
87. Anheuser-Busch Inbev (BUD) [REDACTED] IRA	A	Dividend	J	T					
88. Apple (AAPL) [REDACTED] IRA	A	Dividend	K	T					
89. Campbell Soup (CPB) [REDACTED] IRA	A	Dividend	J	T					
90. Clorox (CLX) [REDACTED] IRA	A	Dividend	J	T					
91. Coco Cola (KO) [REDACTED] IRA	A	Dividend	J	T					
92. Cummins Inc. (CMI) [REDACTED] IRA	A	Dividend	J	T					
93. Dominion Energy (D) [REDACTED] IRA	A	Dividend	J	T					
94. DowDupont(DWDP) [REDACTED] IRA	A	Dividend			Sold	04/09/19	J	A	
95. Dow, Inc.	A	Dividend			Spinoff (from line 94)	04/04/19	J		
96. Dow, Inc.	A	Dividend			Sold	04/09/19	J	A	
97. Eaton (ETN) [REDACTED] IRA	A	Dividend	J	T					
98. Exxon Mobil (XOM) [REDACTED] IRA	A	Dividend	J	T					
99. Garrett Motion Inc. (GTX) [REDACTED] IRA	A	Dividend			Sold	01/02/19	J	A	
100. General Electric (GE) [REDACTED] IRA	A	Dividend	J	T					
101. Honeywell (HON) [REDACTED] IRA	A	Dividend	J	T					
102. Ingersoll-Rand PLC (IR) [REDACTED] IRA	A	Dividend	J	T					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Kellogg (K) [REDACTED] IRA	A	Dividend	J	T					
104. Kimberly Clark (KMB) [REDACTED] IRA	A	Dividend	J	T					
105. 3M Company (MMM) [REDACTED] IRA	A	Dividend	J	T					
106. McCormick & Co. (MKC) [REDACTED] IRA	A	Dividend	J	T					
107. Nestle (NSRGY) [REDACTED] IRA	A	Dividend	J	T					
108. Pepsico (PEP) [REDACTED] IRA	A	Dividend	J	T					
109. Proctor & Gamble (PG) [REDACTED] IRA	A	Dividend	J	T					
110. Prudential Financial (PRU) [REDACTED] IRA	A	Dividend	J	T					
111. Resideo Technologies (REZ) [REDACTED] IRA	A	Dividend			Sold	01/02/19	J	A	
112. Seimens (SIEGY) [REDACTED] IRA	A	Dividend	J	T					
113. Smucker (SJM) [REDACTED] IRA	A	Dividend	J	T					
114. Sonoco (SON) [REDACTED] IRA	A	Dividend	J	T					
115. Tupperware (TUP) [REDACTED] IRA	A	Dividend			Sold	01/02/19	J	A	
116. Unilever (UL) [REDACTED] IRA	A	Dividend	J	T					
117. United Technologies (UTX) [REDACTED] IRA	A	Dividend	J	T					
118. WABTEC CORP	A	Dividend			Spinoff (from line 100)	02/28/19	J		
119. WABTEC CORP	A	Dividend			Sold	04/12/19	J	A	

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. Fidelity Government Cash Reserves IRA	A	Dividend	K	T					
121.									
122.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Warren, David M.

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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.

Part VI:

Line 1: The only asset of 9 Shearwater LLC is the house at Wrightsville Beach, NC. The personal guaranty relates to the mortgage on the real property.

Part VII:

Line 1: The only asset of McLash LLC is the purchase money proisory note.

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Name of Person Reporting

Warren, David M.

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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/ **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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Washington, D.C. 20544