

**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) Humrickhouse, Stephani W.	2. Court or Organization Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 4/29/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Second Floor 300 Fayetteville Street Raleigh, NC 27601		
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. 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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. 08/15/2019	Matthew Bender & Co / Colliers Author	\$1,200.00
2. 12/27/2019	Matthew Bender & Co / Colliers Author	\$2,800.00
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. 2019	FMI Corp W-2
2. 2019	FMI Corp 1120S K-1
3. 2019	FMI Corp 1099
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.	Eastern Bankruptcy Institute	5/30/2019 - 6/1/2019	N. Myrtle Beach, SC	Eastern Bankruptcy Institute	Lodging
2.	Federal Judicial Center	7/7/2019 - 7/10/2019	New York	FJC Judges' Workshop	Lodging, Travel, Meals
3.	American Bankruptcy Institute	7/18/2019 - 7/20/2019	Amelia Island, FL	ABI - Southeastern Workshop	Lodging, Travel, Meals
4.	North Carolina Bar Association	11/22/2019 - 11/112/2019	Wilmington, NC	Annual North Carolina Bar Bankruptcy Institute	Lodging, Meals
5.	Turnaround Management Association	12/2/2019 - 12/3/2019	Charlotte, NC	TMA Annual Judges' Panel	Lodging, Travel, Meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*



NONE *(No reportable gifts.)*

SOURCE

DESCRIPTION

VALUE

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.)*

CREDITOR

DESCRIPTION

VALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 19

Name of Person Reporting Humrickhouse, Stephani W.	Date of Report 4/29/2020
--	-----------------------------

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 (H)									
4. --R6 Eagle Small Cap Growth (Carillon) HSRUX	A	Dividend			Sold	06/01/19	L	D	
5. --Harbor Capital Appreciation Inst Div HACAX		None			Sold	06/01/19	M	E	
6. --Hartford Int'l Opp R5 IHOTX	A	Dividend			Sold	06/01/19	K	C	
7. --John Hancock Disc. Value JDVWX		None			Sold	06/01/19	L	E	
8. --MFS International Value R4 MINHX	A	Dividend			Sold	06/01/19	K	C	
9. --Metropolitan West Total Return Bond MWTRX	B	Int./Div.			Sold	06/01/19	K	C	
10. --Principal Real Estate Securities Inst. PIREX	C	Dividend			Sold	06/01/19	K	C	
11. --Prudential Jennison Health Sciences PHSZX	B	Dividend			Sold	06/01/19	L	E	
12. --Trowe Price Science and Tech/Adv PRSCX	A	Dividend			Sold	06/01/19	K	E	
13. -- Vanguard Mid Cap Index Admiral VIMAX	A	Dividend			Sold	06/01/19	L	E	
14. --Wells Fargo Stable Return Fund N	D	Interest			Sold	06/01/19	O		
15. --Wells Fargo/Blackrock S&P 500 Index	A	Dividend			Sold	06/01/19	K	E	
16. Etrade (H)									
17. --1 Share S&P Midcap ETF (IJH)	A	Dividend	L	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 \$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

Page 5 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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)

18. --1 Share S&P Small Cap ETF (IJR)	A	Dividend	L	T					
19. --BXMT (Blackstone Mortgage Tr.)	A	Dividend	K	T	Buy	06/06/19	K		
20. --KBWP (Invesco Exe. Tr.)	A	Dividend	K	T	Buy	06/06/19	K		
21. --SPDR S&P Small Capital Growth ETF (SLYG)	A	Dividend	J	T					
22. --UTX (United Tech)	A	Dividend	J	T	Buy	06/13/19	J		
23. Vanguard Brokerage Acct (H)									
24. --Vanguard S&P 500 Index ETF (VOO)	A	Dividend	M	T					
25. --Vanguard Prime Money Mkt Fund VMMXX (checking)	A	Interest	N	T					
26. --Vanguard Large Capital ETF VV	A	Dividend	L	T					
27. ---Capital One Bank CD	B	Interest	M	T					
28. --NOBL (ProsharesTrust S&P 500)	A	Dividend	K	T	Buy	12/26/19	K		
29. --AMRN (Amarin Corp)		None			Buy	01/10/19	J		
30.					Sold	11/19/19	J	B	
31. --ALPP (Alpine)		None	L	T	Buy	01/15/19	J		
32.					Buy (add'l)	04/15/19	J		
33.					Buy (add'l)	05/15/19	J		
34.					Buy (add'l)	06/11/19	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 19

Name of Person Reporting	Date of Report
Humrickhouse, Stephani W.	4/29/2020

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)

35.					Buy (add'l)	07/19/19	J		
36.					Buy (add'l)	08/05/19	J		
37.					Sold (part)	11/05/19	J	D	
38.					Sold (part)	11/06/19	K	E	
39. Edward Jones Joint - 1 (H)									
40. --SPDR High Yield ETF (JNK)	B	Dividend	K	T					
41. --EUFN (I Shares TR/MSCI)	B	Dividend			Sold	11/27/19	K		
42. --EWJ	A	Dividend	K	T					
43. --FBGX (UBS Ag London Brh)		None	K	T					
44. --FIEE (UBS AG London ETN)		None	J	T					
45. --IEV I Shares Europe ETF	B	Dividend	L	T					
46. --FIGY (Barclays) (Y)									*SEE NOTE
47. --IXN (ETF)	A	Dividend	K	T					
48. --IXP	A	Dividend	J	T					
49. --Morgan Stanley Money Market	A	Interest	M	T					
50. --MBB (ETF)	A	Dividend	K	T					
51. --QQQ (ETF)	B	Dividend	L	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 \$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

Page 7 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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)

52. --TFI (ETF)	A	Dividend	K	T					
53. --XLG (ETF)	A	Dividend	K	T					
54. --XLF (ETF)	B	Dividend	J	T					
55. --XLP	A	Dividend	J	T					
56. --XLV (ETF)	A	Dividend	K	T					
57. --VIS	A	Dividend	K	T					
58. --VWO	A	Dividend	J	T					
59. --Wells Fargo CD	B	Interest			Matured	12/30/19	L		
60. Janney, Montgomery, Scott (H)									
61. --BP Capital Twin MLP Fund (BPMAX) Name Change HMSFX	A	Dividend	J	T					
62. --BAEIX (mutual fund)	D	Dividend	O	T					
63. --Cullen High Div. Equity Classic (CHVCX)	D	Dividend	M	T					
64. --Federated Treasury Fund (cash acct)	A	Interest	J	T					
65. --Vanguard Value ETF VTV	B	Dividend	M	T					
66. Merrill Lynch Wealth Management - CMA #1 (H)									
67. --ALLSTATE CORP. Preferred Stock ALLPRA	A	Dividend	J	T					
68. --Eli Lilly (LLY)	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 \$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

Page 8 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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)

69. --Intel (INTC)	A	Dividend	K	T					
70. --Merrill Lynch (FIA Card Services) Bank Deposit Program (cash)	A	Interest	J	T					
71. --Powershares Variable Rate (VRP)	B	Dividend	K	T					
72. Merrill Lynch Wealth Management - CMA #2 (H)									
73. --Merrill Lynch Bank Deposit Program	A	Interest	J	T					
74. --Wells Fargo CD	A	Interest			Matured	03/28/19	L		
75. --BMW Bank CD	A	Interest			Matured	08/19/19	L		
76. --JP Morgan Chase Preferred	C	Dividend	L	T					
77. --Morgan Stanley Preferred	C	Dividend	L	T					
78. --Preferred Deposit Cash Account	A	Interest	J	T					
79. --Federal Institution Prime MM (PVOXX)	A	Interest	K	T	Buy	08/20/19	L		
80.					Buy (add'l)	08/30/19	K		
81.					Sold (part)	09/12/19	K		
82.					Sold (part)	11/16/19	K		
83. --Allstate Preferred Stock #1	B	Dividend	K	T	Buy	11/08/19	K		
84. --AT&T Preferred Stock	B	Dividend	K	T	Buy	12/12/19	K		
85. --Bank of America Preferred Stock #1	B	Dividend	K	T	Buy	06/25/19	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 \$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

Page 9 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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)

86. --Bank of America Preferred Stock #2	C	Dividend	L	T	Buy	09/17/19	K		
87. --Duke Energy	C	Dividend	L	T	Buy	03/29/19	K		
88. --Allstate Preferred Stock #2	B	Dividend	K	T	Buy	08/08/19	K		
89. --Neighbors Ind.	A	Interest	K	T	Buy	10/30/19	K		
90. Merrill Lynch Wealth Management - IRA (H)		None							
91. --Alger Spectra (ASPZX)		None			Sold	08/13/19	L	E	
92. --AMBFX	A	Dividend	K	T					
93. --Bank of America, NA, RAST (FIA Card Svc Cash (11AXX))	A	Interest	J	T					
94. --BLACK ROCK CREDIT (BCX)	A	Dividend	J	T					
95. --CSCO	A	Dividend	J	T					
96. --Credit Suisse		None			Sold	04/09/19	J		
97. --First Eagle (SG11X)	A	Dividend			Sold	08/14/19	K	C	
98. --Googl		None			Buy	04/09/19	J		
99.					Sold	09/16/19	K	B	
100. --Intel INTC	A	Dividend	J	T					
101. --MTUM	A	Dividend			Sold	08/14/19	K	C	
102. --Oppenheimer Dev (ODVYX)	A	Dividend			Sold	08/13/19	J	D	

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

Page 10 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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)

103. --Oppenheimer Int'l (OIGYX)	A	Dividend			Sold	04/08/19	J	A	
104. --Oppenheimer (RDIV)	B	Dividend	K	T					
105. --Powershares Preferred Portfolio (PGX)	A	Dividend	J	T					
106. --Proctor & Gamble (PG)	A	Dividend	J	T	Sold (part)	08/14/19	J	A	
107. --Royal Dutch Shell RDSB	A	Dividend	J	T					
108. --Royal Dutch Shell RDSA	A	Dividend	J	T					
109. --SPDR (Y)									* SEE NOTE
110. --XLK	A	Dividend	J	T					
111. --XOM	A	Dividend	J	T					
112. --Federated Ins't Prime MM (PVOXX) (cash acct)	B	Interest	M	T	Open	08/14/19	N		
113. --Bank of America Cash Acct.	A	Interest	J	T					
114. --Kinder Morgan	A	Dividend	J	T	Buy	04/09/19	J		
115. --Energy Transfer (ET)	A	Dividend			Buy	04/09/19	J		
116.					Sold	11/14/19	J		
117. Edward Jones IRA #1 (H)									
118. --AT&T	A	Dividend	J	T					
119. --Cash Account	A	Interest	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 \$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

Page 11 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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. --Conoco Phillips	A	Dividend	J	T					
121. --Johnson & Johnson	A	Dividend	J	T					
122. --Tiffany & Co.	A	Dividend			Sold	10/30/19	J	C	
123. --PWB (Invesco Exc. Traded Lg Cap)	A	Dividend	J	T	Buy	12/13/19	J		
124. --NOBL (Proshares S&P 500 Div Anst)	A	Dividend	J	T	Buy	12/13/19	J		
125. Edward Jones IRA #2 (H)									
126. --Edward Jones Cash Account	A	Interest	J	T					
127. --Tiffany & Co.	A	Dividend			Sold	10/30/19	J	B	
128. --Trust Energy Spyder ETF (XLE)	A	Dividend	J	T					
129. --PWB (Invesco Exc. Traded Lg. Cap)	A	Dividend	J	T	Buy	12/13/19	J		
130. --NOBL (Proshares S&P 500 Div Anst)	A	Dividend	J	T	Buy	12/13/19	J		
131. Edward Jones Single One (H)									
132. --Edward Jones Cash Account	A	Interest	J	T					
133. --American Funds TAIAX	A	Dividend	L	T					
134. --Goldman Sachs CD	A	Interest			Matured	08/15/19	K		
135. --Lincoln Life Ins.	A	Dividend	L	T					
136. --Prudential Prem. Ret. Contract Annuity	C	Dividend	L	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 \$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

Page 12 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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. --Raleigh Durham Airport Bond	A	Interest	K	T					
138. --NC Med Care Comm Bond	B	Interest	L	T	Buy	07/17/19	M		
139. Edward Jones Single 4 (H)									
140. --Edward Jones Cash Account (backed by PNC)	A	Interest	K	T					
141. --Amazon (AMZN)		None	K	T					
142. --APY		None			Sold	08/29/19	J		
143. --AT&T (T)	A	Dividend	J	T					
144. --DollarGen (DG)	A	Dividend	J	T					
145. --Dover Corp (DOV)	A	Dividend	J	T					
146. --Emerson Electric (EMR)	A	Dividend	J	T					
147. --Exxon Mobile (XOM)	A	Dividend	J	T					
148. --Johnson & Johnson (JNJ)	A	Dividend			Sold	03/19/19	J	B	
149. --LINDE PLC (LIN)	A	Dividend	K	T					
150. --Microsoft (MSFT)	A	Dividend	J	T					
151. --Proctor & Gamble (PG)	A	Dividend	J	T					
152. --Target (TGT)	A	Dividend	J	T					
153. --United Tech (UTX)	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 \$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

Page 13 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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. --Ventas (VTR)	A	Dividend			Sold	11/07/19	J		
155. --Verizon (VZ)	A	Dividend	J	T					
156. --Invesco XSLV	A	Dividend	J	T					
157. --Invesco XMLV	A	Dividend	K	T					
158. --Ishares DGRO	A	Dividend	K	T					
159. --Ishares ITA	A	Dividend	J	T					
160. --Ishares IBB	A	Dividend	J	T					
161. --Spyder XLP	A	Dividend	J	T					
162. --Spyder XLU	A	Dividend	J	T					
163. --Vanguard VFH	A	Dividend	J	T					
164. --Danaher (DHR)	A	Dividend	J	T	Buy	07/16/19	J		
165. --PWB (Invesco Exc Tr. Dynamic)	A	Dividend	J	T	Buy	12/13/19	J		
166. --NOBL (Proshares S&P 500 Div Anst)	A	Dividend	J	T	Buy	12/13/19	J		
167. Durham Arvin Partnership		None	L	W					
168. FMI Corp. Stock	F	Distribution			Sold	05/20/19	O		
169. Nationwide Whole Life Insurance		None	J	T					
170. North State Bank Acct	A	Interest	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 \$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

Page 14 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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. Bank of America Account	A	Interest	J	T					
172. Equitable Life Insurance (cash value)	A	Dividend	L	T					
173. --Charter Small Cap Value	A	Dividend	J	T					
174. --Eq/500 Managed Volatility	A	Dividend	J	T					
175. --Eq/Commom Stock Index	A	Dividend	K	T					
176. --Eq/Large Cap Value Managed Volatility	A	Dividend	J	T					
177. --Guaranteed Interest Acct.	A	Interest	K	T					
178. --Multimanager Mid-Cap Growth	A	Dividend	J	T					
179. Alpine 4 Technologies Ltd	A	Dividend	J	T					
180. AXA Advisors (H)									
181. --JP Morgan CD 48128FAXO	A	Interest	L	T					
182. --JP Morgan CD 48126Y7K3	A	Interest	K	T					
183. --JP Morgan CD 48126Y7L1	A	Interest	K	T					
184. --JP Morgan CD 48126Y7N7	A	Interest	K	T					
185. --JP Morgan CD - Contingent Yield (8/30/19)	D	Interest			Sold	08/30/19	K		
186. --JP Morgan CD - Contingent Yield (10/31/19)	D	Interest			Sold	10/31/19	K		
187. --Cash Acct - Discover	A	Interest	M	T	Open	01/05/19	M		

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

Page 15 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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)

188. --Delaware Life Annuity	C	Interest	M	T	Buy	07/08/19	L		
189. Vanguard Rollover IRA (H)									
190. --Federal Money Market Fund (Settlement Fund)	B	Interest	M	T	Open	06/06/19	P1		
191. --VMGXX Money Market (cash acct.)	C	Interest	N	T	Buy	06/10/19	O		
192. --VFIAX (500 Index)	B	Dividend	M	T	Buy	06/10/19	M		
193. --VTTVX (Target Retirement 2025)	A	Dividend	L	T	Buy	06/10/19	L		
194.					Buy (add'l)	06/19/19	L		
195. --VWEAX (High Yield Corp Bond)	B	Dividend	L	T	Buy	06/10/19	L		
196. --QQQ (Nasdaq 500)	A	Dividend	J	T	Buy	06/17/19	L		
197.					Sold (part)	11/19/19	L	D	
198. --NOBL (Proshares Trust S&P Aris)	A	Dividend	K	T	Buy	12/26/19	K		
199. --CZZ (Cosan Ltd)	A	Dividend	J	T	Buy	12/20/19	J		
200. --LX (LexinFintech)		None	J	T	Buy	10/25/19	J		
201. --MRVL (Marvel Tech)	A	Dividend	J	T	Buy	10/25/19	J		
202. --MOMO	A	Dividend	J	T	Buy	10/29/19	J		
203. --ZTO (Express Cayman)		None	J		Buy	11/29/19	J		
204. --AMD (Adv. Micro Devices)		None			Buy	07/15/19	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	

FINANCIAL DISCLOSURE REPORT

Page 16 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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.					Sold	11/19/19	J	A	
206. E-Trade Rollover IRA (H)									
207. --Cash Account	A	Interest	M	T	Open	06/21/19	M		
208. --DLTH (Duluth)		None	J	T	Buy	11/12/19	J		
209. --HNHPF(Hon Hai Precision)	A	Dividend	J	T	Buy	12/24/19	J		
210. --PWB (Invesco Exc. Lg. Cap ETF)	A	Dividend	K	T	Buy	12/26/19	K		
211. --NEO (Neogenomics)		None	J	T	Buy	10/25/19	J		
212. --OSTK (Overstock)		None	J	T	Buy	12/16/19	J		
213. --NOBL (Proshares S&P Ans)	A	Dividend	K	T	Buy	12/26/19	K		
214. --VHT (Vanguard Healthcare ETF)	A	Dividend	J	T	Buy	07/03/19	K		
215.					Sold (part)	12/17/19	K	A	
216. --SPY (SPDR S&P 500 ETF)	A	Dividend			Buy	07/02/19	L		
217.					Sold	12/23/19	L	A	
218. --ARLO (Arlo Tech)		None			Buy	10/28/19	K		
219.					Sold (part)	11/13/19	J		
220.					Sold	11/25/19	J		
221. --DSX (Dianne Shipping)		None			Buy	10/28/19	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	

FINANCIAL DISCLOSURE REPORT

Page 17 of 19

Name of Person Reporting Humrickhouse, Stephani W.	Date of Report 4/29/2020
--	-----------------------------

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)

222.					Sold	11/13/19	J	A	
223. --MR (Mortgage Resources)		None			Buy	10/28/19	J		
224.					Sold	11/13/19	J	A	
225. --MYOK (Myokardia)		None			Buy	10/29/19	J		
226.					Sold	12/24/19	J	A	
227. --TVIX (Velocity Shares)		None			Buy	11/06/19	J		
228.					Buy (add'l)	11/14/19	J		
229.					Buy (add'l)	11/20/19	J		
230.					Buy (add'l)	11/27/19	J		
231.					Sold	12/04/19	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	

FINANCIAL DISCLOSURE REPORT

Page 18 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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

VII. Investments and Trusts

Line 3: This 401K was closed and rolled over to Vanguard IRA (See line 189)

Line 46: FIGY was sold on 6/14/2018 and the sale was erroneously omitted from the 2019 report

Line 109: This is a duplicate of Line 110; XLK is a name change.

FINANCIAL DISCLOSURE REPORT

Page 19 of 19

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

4/29/2020

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