

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) Kahn, Benjamin A.	2. Court or Organization United States Bankruptcy Court (MDNC)	3. Date of Report 05/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	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 United States Bankruptcy Court 101 South Edgeworth Street Greensboro, North Carolina 27401		
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. POA	Family Member 1
2. POA	Family Member 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.)*

<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. 2019	SunTrust - salary
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.	Turnaround Management Association/Int'l Women's Insolvency & Restructuring Confed.	March 28-29, 2019	Atlanta, GA	CLE Presentation	Hotel, mileage, meals
2.	Middle District Bankruptcy Seminar	April 11-13, 2019	Durham, NC	Bankruptcy Seminar	Hotel, travel, meals
3.	National Conference of Bankruptcy Judges	July 10, 2019	New York, NY	Bankruptcy Seminar	Hotel, travel, meals
4.	American Bankruptcy Institute	July 18-21, 2019	Amelia Island, FL	Bankruptcy Seminar	Hotel, travel, meals
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.)

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.		

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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. Collegebound 529 #1(H)									
2. -Invesco Collegebound Today Portfolio I	A	Int./Div.	L	T					
3. Collegebound 529 #2(H)									
4. -Invesco Collegebound Today Portfolio I	A	Int./Div.	L	T					
5. SunTrust Cash Accounts	A	Interest	K	T					
6. SunTrust Investment Account #1(H)									
7. -SPY ETF	D	Dividend	N	T					
8. SunTrust Investment Account #2(H)									
9. -SunTrust Fiduciary Master Deposit Account	A	Dividend	J	T					
10. -iShares Core S&P Small Cap ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
11.					Buy (add'l)	08/22/19	J		
12. -iShares Russell Midcap ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
13. -Vanguard FTSE Emerging Fund	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
14. -ishares core S&P 500 ETF	A	Dividend	K	T	Sold (part)	02/05/19	J	A	
15. -ishares core MSCI EAFE ETF	A	Dividend	J	T	Sold (part)	08/22/19	J	B	
16.					Sold (part)	02/05/19	J	A	
17. -ishares DJ Select Div ETF	A	Dividend	J	T	Sold (part)	02/05/19	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	

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☐ NONE (No reportable income, assets, or transactions.)

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	(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.					Buy (add'l)	08/22/19	J		
19. -DFA S-T Ext Quality Fund	A	Dividend	J	T	Buy	03/06/19	J		
20. -Neuberger Berman Hi Inc Bond Fund	A	Dividend	J	T	Buy	04/26/19	J		
21.					Buy (add'l)	05/22/19	J		
22. -Wisdom Tree Midcap Fund	A	Dividend	J	T	Buy	08/29/19	J		
23. -Virtus Seix FLT Rate Hi Inc Fund	A	Dividend			Buy	02/05/19	J		
24.					Sold (part)	04/26/19	J	A	
25.					Sold	05/22/19	J	A	
26. SunTrust Investment Account #3(H)									
27. -Federated Government Obligations Trust	A	Dividend	J	T					
28. -SPDR S&P 500 ETF	A	Dividend	K	T					
29. SunTrust Investment Account #4(H)									
30. -Federated Government Obligations Trust	A	Dividend	J	T					
31. -SPDR S&P 500 ETF	A	Dividend	K	T					
32. SunTrust IRA Rollover #3(H)									
33. -SunTrust Fiduciary Master Deposit Account	C	Dividend	M	T					
34. -AAPL Common	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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35. -I-shares Core S&P Small Cap ETF	A	Dividend	L	T	Buy (add'l)	02/05/19	J		
36.					Buy (add'l)	08/22/19	J		
37. -I-shares DJ Select Div ETF	D	Dividend	M	T	Sold (part)	02/05/19	J	A	
38.					Buy (add'l)	08/22/19	L		
39. -I-shares MSCI EAFE ETF	B	Dividend	L	T	Sold (part)	02/05/19	K	A	
40.					Sold (part)	08/22/19	M	A	
41. -I-shares Russell Midcap ETF	B	Dividend	M	T	Buy (add'l)	02/05/19	K		
42.					Sold (part)	08/22/19	K	A	
43. -SPDR S&P 500 ETF	D	Dividend	N	T	Sold (part)	02/05/19	K	A	
44.					Buy (add'l)	08/22/19	J		
45. -Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T	Buy (add'l)	02/05/19	K		
46.					Sold (part)	08/22/19	J	A	
47. -Virtus Seix FLT RT High Inc Fd.	C	Dividend			Sold (part)	04/26/19	L	A	
48.					Sold	05/22/19	L	A	
49. -Neuberger Berman Hi Inc Bond Fund	D	Dividend	M	T	Buy	04/26/19	L		
50.					Buy (add'l)	05/22/19	L		
51. -Wisdom Tree Midcap Fund	A	Dividend	L	T	Buy	08/22/19	L		

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52. SunTrust IRA Rollover #4(H)									
53. -SunTrust Fiduciary Master Deposit Account	A	Dividend	J	T					
54. -I-shares Core S&P Small Cap ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
55.					Buy (add'l)	08/22/19	J		
56. -I-shares DJ Select Div ETF	A	Dividend	K	T	Sold (part)	02/05/19	J	A	
57.					Buy (add'l)	08/22/19	L		
58. -I-shares MSCI EAFE ETF	A	Dividend	J	T	Sold (part)	02/05/19	J	A	
59.					Sold (part)	08/22/19	J	A	
60. -I-shares Russell Midcap ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
61.					Sold (part)	08/22/19	J	A	
62. -SPDR S&P 500 ETF	A	Dividend	K	T	Buy (add'l)	08/22/19	J		
63.					Sold (part)	02/05/19	J	A	
64. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
65.					Sold (part)	08/22/19	J	A	
66. -Virtus Seix FLT RT High Inc Fd	A	Dividend			Sold (part)	04/26/19	J	A	
67.					Sold	05/22/19	J	A	
68. -Neuberger Berman Hi Inc Bond Fund	A	Dividend	J	T	Buy	04/26/19	J		

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69.					Buy (add'l)	05/22/19	J		
70. -Wisdom Tree Midcap Fund	A	Dividend	J	T	Buy	08/22/19	J		
71. SunTrust IRA Rollover #1(H)									
72. -SunTrust Fiduciary Master Deposit Account	B	Dividend	L	T					
73. -Virtus Seix FLT RT High Inc Fd	C	Dividend			Sold (part)	04/26/19	K	A	
74.					Sold	05/22/19	K	A	
75. -T-Rowe Price ST Bond Fund	A	Dividend			Sold	02/05/19	J	A	
76. -Dodge & Cox Int'l Stock Fund	A	Dividend			Sold	02/05/19	K	A	
77. -Federated Strategic Val DivFund	B	Dividend	K	T	Sold (part)	02/05/19	K	A	
78. -Harbor Capital Appreciation Fund	A	Dividend	K	T	Sold (part)	02/05/19	J	A	
79. -I-shares Core S&P Small Cap ETF	A	Dividend	K	T	Buy (add'l)	02/05/19	J		
80.					Buy (add'l)	08/22/19	J		
81. -I-shares Russell Midcap ETF	A	Dividend	L	T	Buy (add'l)	02/05/19	J		
82.					Sold (part)	08/22/19	J	B	
83. -Invesco Oppenheimer Dev Mkts Fund f/k/a Oppenheimer Dev. Markets Fund	A	Dividend	K	T	Sold (part)	02/05/19	J	A	
84.					Sold (part)	08/22/19	J	A	
85. -SPDR S&P 500 ETF	B	Dividend	M	T	Buy (add'l)	02/05/19	K		

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2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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86. -Boston Partners Long/Short Fund	A	Dividend			Sold	02/05/19	K	A	
87. -Vanguard FTSE EM ETF	A	Dividend	K	T	Buy (add'l)	02/05/19	J		
88.					Sold (part)	08/22/19	J	A	
89. -I-shares MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	02/05/19	K		
90.					Sold (part)	08/22/19	L	A	
91. -Wisdom Tree Midcap Fund	A	Dividend	K	T	Buy	08/22/19	K		
92. -Neuberger Berman Hi Inc Fund	C	Dividend	L	T	Buy	04/26/19	K		
93.				T	Buy (add'l)	05/22/19	K		
94. -DJ Select Div ETF	B	Dividend	L	T	Buy	08/22/19	L		
95. SunTrust IRA Rollover #2(H)									
96. -SunTrust Fiduciary Master Deposit Account	A	Dividend	K	T					
97. -Virtus Seix FLT RT High Inc Fd	A	Dividend			Sold (part)	04/26/19	J	A	
98.					Sold	05/22/19	J	A	
99. -T-Rowe Price ST Bond Fund	A	Dividend			Sold	02/05/19	J	A	
100. -Dodge & Cox Int'l Stock Fund	A	Dividend			Sold	02/05/19	J	A	
101. -Federated Strategic Val. Div. Fund	A	Dividend	J	T	Sold (part)	02/05/19	J	A	
102. -Harbor Capital Appreciation Fund	B	Dividend	K	T	Sold (part)	02/05/19	J	A	

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103. -I-shares Core S&P Small Cap ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
104.					Buy (add'l)	08/22/19	J		
105. -I-shares Russell Midcap ETF	A	Dividend	K	T	Buy (add'l)	02/05/19	J		
106.					Sold (part)	08/22/19	J	A	
107. -Invesco/Oppenheimer Dev Mkt Fund f/k/a Oppenheimer Dev. Markets Fund	A	Dividend	J	T	Sold (part)	02/05/19	J	A	
108.					Sold (part)	08/22/19	J	A	
109. -SPDR S&P 500 ETF	A	Dividend	K	T	Buy (add'l)	02/05/19	J		
110. -Boston Partners Long/Short Fund	A	Dividend			Sold	02/05/19	J	A	
111. -Vanguard FTSE Em Mkt ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
112.					Sold (part)	08/22/19	J	A	
113. -I-shares MSCI EAFE ETF	A	Dividend	J	T	Buy (add'l)	02/05/19	J		
114.					Sold (part)	08/22/19	K	A	
115. -Neuberger Berman Hi Inc Fund	A	Dividend	K	T	Buy	04/26/19	J		
116.					Buy (add'l)	05/22/19	J		
117. -DJ Select Div ETF	A	Dividend	K	T	Buy	08/22/19	J		
118. -Wisdom Tree Midcap Fund	A	Dividend	J	T	Buy	08/22/19	J		
119. SunTrust 401-K (H)									

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	

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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)	(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. -Vanguard Insitutional Index Fund	B	Dividend	L	T	Buy (add'l)	09/26/19	J		
121. -Vanguard Russell Extended Market Index	A	Dividend	J	T	Buy (add'l)	09/26/19	J		
122. -Vanguard Total International Stock Index	A	Dividend	J	T	Sold (part)	09/26/19	J	A	
123. -Vanguard Treasury Money Market	A	Dividend	K	T	Buy (add'l)	09/26/19	J		
124. -Vanguard Short Term Bond Index	A	Dividend	K	T	Buy (add'l)	09/26/19	J		
125. -Vanguard Russell 1000 Growth	A	Dividend			Sold	09/26/19	K	A	
126. -Vanguard Russell 2000 Growth	A	Dividend			Sold	09/26/19	J	A	
127. Optum HSA Account	A	Interest	J	T					
128. SunTrust Deferred Salary Plan (H)									
129. -Vanguard Russell 1000 Growth	A	Dividend	K	T	Buy	03/22/19	K		
130. -Vanguard Russell 1000 Value	A	Dividend	K	T	Buy	03/22/19	K		
131. -Vanguard Treasury Money Market	A	Dividend	K	T	Buy	03/22/19	K		
132. SunTrust IRA #5 (H) (X)									
133. -Federated Gov't Obligations Trust	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

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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/ **Benjamin A. Kahn**

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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