

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) Callaway, Joseph N.	2. Court or Organization United States Bankruptcy Court, Eastern District of NC	3. Date of Report 05/06/2020
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 150 Reade Circle Greenville, NC 27858		
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. Managing member	JKP, LLC
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. 1/01/2016	Battle Winslow Scott & Wiley PA -- Note for buy out of interest in former law firm (receiving monthly payments on note)
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. 12/31/2019	Battle Winslow Scott & Wiley PA -- total for 12 monthly note buyout payments received in 2019.	\$2,900.00
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. 2019 Eastern Bankruptcy Institute	5/30/2019 and 5/31/2019	North Myrtle Beach, SC	Speaker at bankruptcy law seminar	two nights of hotel room
2. 2019 Southeastern Bankruptcy Institute	7/18/2019 to 7/20/2019	Amelia Island, Florida	Speaker at bankruptcy continuing legal education seminar and meeting	three nights hotel room, meal and mileage (IRS rate) reimbursement
3. National Conference of Bankruptcy Judges	10/30/2019 to 11/1/2019	Washington, D.C.	Judges conference and CLE	partial room reimbursement from NCBJ organization
4. North Carolina Bar Association	11/22/2019	Wilmington, N.C.	Speaker at bankruptcy law seminar	mileage reimbursement (IRS rate)
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. American Board of Certification	National Bankruptcy Law Specialization Board (fees waived for all qualifying judges)	\$750.00
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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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. Providence Bank Checking Account	D	Interest	O	T					
2. E-Trade Dividend Account	A	Interest	J	T					
3. Providence Bank Checking Account for JKP (87.5%)	A	Interest	J	T					
4. Stock -- RBC Bank (RY)	E	Dividend	O	T					
5. Stock -- Pepsico (PEP)	B	Dividend	K	T					
6. ETrade Rollover IRA as listed below:									
7. Stock -- Federal Express (FDX) (IRA)	B	Dividend	M	T	Buy (add'l)	09/24/19	J		
8. PARMX	D	Dividend	M	T					
9. DLSNX	B	Dividend	M	T					
10. VTI	E	Dividend	N	T					
11. VUG	E	Dividend	N	T					
12. TRLVX	E	Dividend	M	T					
13. VOO	D	Dividend	M	T					
14. VOOV	D	Dividend	M	T					
15. VONG	D	Dividend	N	T					
16. ETrade IRA Money Market Acct	D	Interest	O	T					
17. Other IRA's:									

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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18. IRA - Janus Growth & Income Fund (JAGIX)	D	Dividend	K	T					
19. IRA- Royce Penn Mutual Fund (RYCPX)	B	Dividend	J	T					
20. Spouse's 401k converted to IRA									
21. AGTHX	D	Dividend	L	T					
22. ANCFX	D	Dividend	L	T					
23. ANWPX	C	Dividend	K	T					
24. CWGIX	C	Dividend	K	T					
25. NEWFX	C	Dividend	K	T					
26. State of NC 401k Retirement Plan: (Note 1)									
27. NC Large Cap Value	A	Dividend			Sold	05/21/19	K	D	
28. NC Large Cap Index	A	Dividend			Sold	05/21/19	K	D	
29. NC Large Cap Growth	A	Dividend			Sold	05/21/19	K	E	
30. NC Small/Mid Cap Value	A	Dividend			Sold	05/21/19	K	D	
31. NC Small/Mid Cap Index	A	Dividend			Sold	05/21/19	K	E	
32. NC Small/Mid Cap Growth	A	Dividend			Sold	05/21/19	K	E	
33. NC Global Equity Fund	A	Dividend			Sold	05/21/19	J	D	
34. NC International Fund	A	Dividend			Sold	05/21/19	K	E	

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35. NC International Index Fund	A	Dividend			Sold	05/21/19	J	D	
36. NC Stable Value Fund	A	Dividend			Sold	05/21/19	J	D	
37. Fidelity IRA cash market account	D	Interest	M	T	Open	05/21/19	M		

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

NOTE 1 -- [REDACTED] state retirement account mutual funds reflected in Part VII Lines 27 - 36 sold and transferred to Fidelity Funds Retirement Cash/Money Market IRA account shown at line 37.

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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/ **Joseph N. Callaway**

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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