

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/24/2016
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 01/01/2015 to 12/31/2015
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.	Trustee	Trustee #1
2.	Executor	Estate #1
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. 2015

Self-employed attorney

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. North Carolina Bar
Association11/07/2015 -
11/08/2015

Pinhurst, 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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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	Sold (part)	06/09/15	J	A	
2. CBF Agg Growth Fund	A	Dividend	K	T	Sold (part)	06/09/15	J	A	
3. ClearBridge Small Cap Fund f/k/a ClearBridge Sp. Inv. Tr. Class C	A	Dividend	K	T					
4. American Funds New Perspective Mutual Fund	B	Dividend	M	T					
5. American Funds Washington Mutual Funds	D	Dividend	M	T					
6. [REDACTED]	F	Distribution	K	W					
7. RBC Money Market Sweep Account	A	Interest	K	T					
8. RBC Money Market Sweep Account	A	Interest	L	T					
9. RBC Money Market Sweep Account	A	Interest	K	T					
10. Belmont Federal Savings & Loan Account	A	Interest	K	T					
11. American Funds Templeton Dev Mkt Foreign Mutual Fund	A	Dividend	J	T					
12. American Funds Washington Mutual Funds	B	Dividend	K	T	Buy	11/10/15	K		
13. American Funds Growth Fund of America Mutual Fund	D	Dividend	M	T	Buy	12/23/15	J		
14. Black Rock US Opp Class C	B	Dividend			Sold	11/10/15	K		
15. American Funds New Perspective Mutual Fund	A	Dividend	J	T					
16. Royce Total Return Fund, a/k/a/ Royce FD	D	Dividend			Sold	12/08/15	L	B	
17. Europac Growth Fund	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Invesco Am Fr Fund Class A	B	Dividend	K	T					
19. Wells Fargo f/k/a Wachovia Bank Various Accounts	A	Interest	L	T					
20. American Funds Money Market Fund	A	Dividend	L	T	Buy	11/10/15	L		
21. American Funds U.S. Government Money Market Fund	A	Dividend	L	T	Buy	11/10/15	L		
22. Invesco AIM Investments European Growth Fund Class A (X)	A	Dividend	J	T					
23. American Funds Capital World Bond Fund (X)	B	Dividend			Sold	11/10/15	L		
24. American Funds Investment Co of America Class A (X)	B	Dividend	L	T					
25. Goldman Sachs Bank CD (X)	A	Interest	J	T					
26. Union Bank NA CD (X)	A	Interest	K	T					
27. Estate 1:									
28. Belmont Federal Various Accounts	A	Interest	L	T					
29. Spectra Energy	A	Dividend	J	T					
30. TRUST 1:									
31. Residential Lot #1, Gaston County, NC		None	M	W					
32. Residential Lot #2, Gaston County, NC		None	K	W					
33. Residential Lot #3, Gaston County, NC		None	K	W					
34. Residential Lot #4, Gaston County, NC		None	J	W					

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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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35. Residential Lot #5, Gaston County, NC		None	J	W					
36. Residential Lot #6, Gaston County, NC		None	J	W					
37. Residential Lot #7 (1/2 Interest) Gaston County, NC		None	K	W					
38. Residential Lot #8 (1/2 Interest) Gaston County, NC		None	J	W					
39. Residential Lot #9 (1/2 Interest) Gaston County, NC		None	J	W					
40. Residential Lot #10 (1/2 Interest) Gaston County, NC		None	J	W					
41. Residential Lot #11 (1/2 Interest) Gaston County, NC		None	J	W					
42. Residential Lot #12 (1/2 Interest) Gaston County, NC		None	J	W					
43. Belmont Federal Various Accounts	A	Interest	L	T					
44. RBC Money Market Sweep Acct	A	Interest	L	T					
45. Invesco AIM Investments European Growth Fund Class A		None			Distributed	01/02/15	K		
46. American Funds Capital World Bond Fund Class A		None			Distributed	01/02/15	M		
47. American Funds Europacific Growth Fund Class A		None			Distributed	01/02/15	K		
48. American Funds Growth Fund of America Class A		None			Distributed	01/02/15	M		
49. American Funds Investment Co of America Class A		None			Distributed	01/02/15	M		
50. Goldman Sachs Bank CD		None			Distributed	01/02/15	K		
51. Union Bank NA CD		None			Distributed	01/02/15	K		

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

Part VII - #45 - 51, In kind distribution of trust assets to beneficiaries. Receipt of 50% of some of those assets by reportee as a beneficiary is reflected in new reported assets (X), others simply augment amount of preexisting individual holdings of reportee in same funds.

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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
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