

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) James, Lena M.	2. Court or Organization United States Bankruptcy Court (MDNC)	3. Date of Report 04/23/2021
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 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States Bankruptcy Court 601 W 4TH St, Suite 100 Winston-Salem, North Carolina 27101		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Power of attorney	family member
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

James, Lena M.

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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. 2020	Winston-Salem Forsyth County Schools - 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.				
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.)

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.		

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)
1. American Express High Yield Savings	B	Interest	M	T					
2. Charles Schwab Bank Checking	A	Interest	J	T					
3. Wells Fargo Checking	A	Interest	L	T					
4. Wells Fargo Savings	A	Interest	L	T					
5. Wells Fargo Money Market	A	Interest	K	T					
6. Charles Schwab Money Market	A	Dividend	L	T					
7. Matthews China Fund	A	Dividend	J	T					
8. DWS Emerging Mkt Equity Fund	A	Dividend	J	T					
9. RBC Micro Cap Value FD (RMVIX)	B	Dividend	K	T					
10. Schwab 1000 Index Fund (SNXFX)	B	Dividend	L	T					
11. Schwab S&P 500 Index FD (SWPPX)	B	Dividend	L	T					
12. Blackrock Euro Fund	A	Dividend	J	T					
13. Davis Real Estate Fund	A	Dividend	J	T					
14. DWS Latin American Equity Fund	A	Dividend	J	T					
15. Northeast Investor Trust Fund	A	Dividend	J	T					
16. PIMCO Emerging Market Bond Fund	A	Dividend	J	T					
17. Wells Fargo Emerging Markets Equity	A	Dividend	J	T					

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

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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)
18. Vanguard FTSE Emerging Fund	A	Dividend	J	T					
19. Vanguard Growth Fund	A	Dividend	J	T					
20. Northwestern Mutual Whole Life	C	Dividend	M	T					
21. Vanguard Global Capital Market Cycles Fund	A	Dividend	K	T					
22. Vanguard Prime Money Mkt Fund	A	Dividend	K	T					
23. Vanguard REIT Index Fund Adm	A	Dividend	K	T	Buy (add'l)	04/16/20	J		
24. Vanguard Retirement 2035	D	Dividend	N	T					
25. Fidelity Government Money Market	A	Dividend	M	T					
26. Fidelity Asset Manager 50%	A	Dividend			Sold	04/13/20	K		
27. Fidelity Strategic Income Fund	A	Dividend			Sold	04/13/20	K		
28. Fidelity Capital and Income	A	Dividend			Sold	04/13/20	K		
29. Fidelity Municipal Income	B	Dividend	L	T					
30. Fidelity Tax Free Bond	B	Dividend	L	T					
31. Fidelity Investment Grade	B	Dividend	K	T					
32. Fidelity Intermediate Muni Income	C	Dividend	M	T	Buy (add'l)	05/26/20	K		
33. American Beacon SIM High Yield Opportunities Invest	A	Dividend			Sold	04/13/20	K		
34. Nuveen All American Muni Bond Cl A	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	

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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)
35. T Rowe Price High Yield Bond	A	Dividend			Sold	04/13/20	K		
36. T Rowe Price Emerging Markets Bond Fund	A	Dividend	K	T	Buy (add'l)	04/24/20	J		
37. T Rowe Price Summit Muni Intermediate	B	Dividend	K	T					
38. TCW Emerging Markets Income Cl N	A	Dividend			Sold	04/13/20	K		
39. Vanguard Intermediate Term Tax Exempt Fund	B	Dividend	L	T					
40. Vanguard Long Term Tax Exempt Investor	B	Dividend	L	T					
41. Wells Fargo Muni Bond Fund Cl A	B	Dividend	K	T					
42. iShares National Muni Bond ETF	B	Dividend	L	T	Buy (add'l)	09/23/20	K		
43. SPDR Series Trust Nuveen BBG Brclly	A	Dividend			Sold	04/13/20	L		
44. Van Eck Vectors ETF Tr High Yield Muni ETF	A	Dividend			Sold	04/13/20	K		
45. Blackrock Municipal Income Tr SH Ben INT	A	Dividend			Buy (add'l)	03/11/20	J		
46.					Sold	04/13/20	J		
47. Nuveen Mun High Income OPP Fd Con	A	Dividend			Sold	04/13/20	K		
48. Fidelity Select Software & IT Services	C	Dividend	M	T	Buy	05/26/20	L		
49. Vanguard Index S&P 500 ETF	A	Dividend	K	T	Buy	10/29/20	K		
50. Select Sector SPDR TT Energy	B	Dividend	K	T	Buy	03/12/20	J		
51.					Buy (add'l)	06/24/20	J		

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		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
52.					Buy (add'l)	09/22/20	J		
53.					Buy (add'l)	10/26/20	J		
54.					Buy (add'l)	10/28/20	J		

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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

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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/ **Lena M. James**

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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