

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) Warren, David M.	2. Court or Organization U.S. Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 04/14/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 Century Station Post Office and Courthouse 300 Fayetteville Street, Room 323 Raleigh, NC 27601-1749		
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. Chairman	FRMT, Ltd.
2. Chairman	Turner W. Battle Scholarship Trust (Rocky Mount Academy)
3. Director	Paramount Condominium Homeowners Association, Inc.
4. President	9 Shearwater Street Condominium Owners Association, Inc.
5. Manager	9 Shearwater LLC
6. Manager	Roofjumpers LLC
7. Manager	McLash LLC
8. Adjunct Professor	Norman A. Wiggins School of Law (Campbell University)
9.	

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. 1/1/1991	Poyner Spruill LLP Retirement Plan, former law firm. This is a qualified pension plan that was discontinued in approximately 1991.
2.	

Name of Person Reporting Warren, David M.	Date of Report 04/14/2021
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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. 01/20/2020	Campbell Univerity-Salary	\$1,539.00
2. 02/14/2020	Campbell Univerity-Salary	\$1,539.00
3. 03/15/2020	Campbell Univerity-Salary	\$1,539.00
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	David G. Polhenus , DDS, PLLC
2. 2020	J. Christian Sheaffer, DDS, PLLC
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. FRMT, Ltd.	01/17/2020	Chicago, IL	Committee Meeting	transporation, food
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. Sound Bank	Personal Guaranty on Loan to 9 Shearwater LLC (Wrightsville Beach, NC house)	N
2.		
3.		
4.		
5.		

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Warren, David M., 04/14/2021

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and 5 sub-columns for D. Rows include assets like Purchase Money Mortgage, House, Northwestern Mutual Life, National Life, Mutual Trust, Anheuser-Busch, B&G Foods, Boeing, Carrier Global, Caterpillar, Clorox, Coca Cola, Cummins, Dieago, Disney Walt Co, Dominion Energy, and Eaton Corp.

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
2 Value Codes: F=\$50,001 - \$100,000, G=\$100,001 - \$1,000,000, H1=\$1,000,001 - \$5,000,000, H2=More than \$5,000,000, J=\$15,000 or less, K=\$15,001 - \$50,000, L=\$50,001 - \$100,000, M=\$100,001 - \$250,000, 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, Q=Appraisal, R=Cost (Real Estate Only), S=Assessment, T=Cash Market, U=Book Value, V=Other, W=Estimated

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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. Emerson Electric (EMR) DIRA	A	Dividend	K	T					
19. Exxon Mobil (XOM) DIRA	B	Dividend	K	T					
20. First Citizens Bank (FCNCA) DIRA	A	Dividend	L	T	Buy	03/03/20	K		
21. General Dynamics (GD) DIRA	A	Dividend	K	T	Buy	01/31/20	K		
22. General Electric (GE) DIRA	A	Dividend	J	T					
23. General Mills (GIS) DIRA	A	Dividend			Sold	08/14/20	K	D	
24. Greenbrier Companies (GBX) DIRA	A	Dividend	K	T	Buy	03/02/20	K		
25. Heineken (HEINY) DIRA	A	Dividend			Sold	08/14/20	K	E	
26. Hershey Company DIRA	A	Dividend	K	T					
27. Honeywell (HON) DIRA	A	Dividend	K	T					
28. International Flavors & Fragrances (IFF) DIRA	A	Dividend			Sold	08/14/20	K	A	
29. International Paper (IP) DIRA	B	Dividend	K	T					
30. Johnson & Johnson (JNJ) DIRA	B	Dividend	L	T					
31. Kellogg (K) DIRA	B	Dividend	K	T					
32. Kimberly-Clark (KMB) DIRA	A	Dividend	K	T					
33. Lockheed Martin Corp (LMT) DIRA	A	Dividend	K	T					
34. Marriott International (MAR) DIRA	A	Dividend	K	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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☐ 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)
35. Matson Inc. DIRA	A	Dividend			Buy	02/11/20	K		
36. Matson Inc. DIRA	A	Dividend			Sold	08/26/20	K	D	
37. McCormick & Co. (MCK) DIRA	B	Dividend	J	T	Sold (part)	08/14/20	K	F	
38. 3 M (MMM) DIRA	B	Dividend	K	T					
39. Nestle (NSRGY) DIRA	B	Dividend	L	T					
40. Otis Worldwide (OTIS) DIRA	A	Dividend	K	T	Spinoff (from line 49)	04/03/20	K		
41. Parker-Hannifin Corp	A	Dividend	K	T					
42. Pepsico (PEP) DIRA	B	Dividend	L	T					
43. Raytheon Technologies Corp (TTX) DIRA	A	Dividend	K	T	Spinoff (from line 49)	04/03/20	K		
44. Royal Caribbean Group (RCL) DIRA	A	Dividend	K	T	Buy	02/11/20	K		
45. Royal Dutch Shell (RDSB) DIRA	B	Dividend	J	T					
46. Smucker (SJM) DIRA	A	Dividend			Sold	08/26/20	K	A	
47. Sysco Corp (SYU) DIRA	A	Dividend	K	T	Buy	02/11/20	K		
48. Unilever PLC (UN) DIRA	B	Dividend	K	T					
49. United Technologies (UTX) DIRA	B	Dividend			Distributed	04/03/20	L		
50. Fidelity Cash Reserves DIRA	A	Dividend	N	T					
51.									

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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52. First Citizens Bank B Preferred DAmeri	A	Dividend	K	T					
53. First Citizens Bank A DAmeri	A	Dividend			Buy	01/31/20	K		
54. First Citizens Bank A DAmeri	A	Dividend			Sold	11/24/20	K	C	
55. General Mills (GIS) DAmeri	A	Dividend			Sold	08/12/20	J	A	
56. Kellogg (K) DAmeri	A	Dividend			Sold	08/31/20	J	A	
57. Cenovus Energy (CVE) DAmeri	A	Dividend	J	T					
58. 3M Company DAmeri	A	Dividend			Buy	02/13/20	J		
59. 3M Company DAmeri	A	Dividend			Sold	08/12/20	J	A	
60. Amerprise Insured Money Market DAmeri	A	Interest	K	T					
61.									
62. Fidelity Equity Income/Cash Reserves (DMW, █████)	A	Dividend			Donated				
63.									
64. American Electric & Power (AEP) █████ IRA	C	Dividend			Sold	08/14/20	M	F	
65. Anheuser Busch Inbev (BUD) █████ IRA	A	Dividend	K	T					
66. Coca Cola (KO) █████ IRA	C	Dividend	L	T					
67. Exelon (EXC) █████ IRA	C	Dividend	M	T					
68. FirstEnergy (FE) █████ IRA	C	Dividend	L	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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69. General Mills (GIS) [REDACTED] IRA	B	Dividend			Sold	08/14/20	L	C	
70. Kellogg (K) [REDACTED] IRA	A	Dividend			Sold	08/14/20	K	A	
71. Kinder Morgan (KMI) [REDACTED] IRA	A	Dividend	K	T					
72. Smucker (SJM) [REDACTED] IRA	B	Dividend	L	T					
73. Fidelity Government Cash Reserves [REDACTED] IRA	A	Dividend	N	T					
74.									
75. Fidelity Equity Income ([REDACTED])	A	Dividend			Donated				
76.									
77. Fidelity Equity Income ([REDACTED])	A	Dividend	J	T					
78.									
79. Anheuser-Busch Inbev (BUD) [REDACTED] IRA	A	Dividend	J	T					
80. Apple (AAPL) [REDACTED] IRA	A	Dividend	K	T					
81. Campbell Soup (CPB) [REDACTED] IRA	A	Dividend			Sold	08/17/20	J	B	
82. Carrier Global Corp. [REDACTED] IRA	A	Dividend	J	T	Spinoff (from line 112)	04/03/20	J		
83. Clorox (CLX) [REDACTED] IRA	A	Dividend			Sold	08/17/20	K	D	
84. Coco Cola (KO) [REDACTED] IRA	A	Dividend	J	T					
85. Cummins Inc. (CMI) [REDACTED] IRA	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
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86. Dominion Energy (D) [REDACTED] IRA	A	Dividend			Sold	06/02/20	J	B	
87. Eaton (ETN) [REDACTED] IRA	A	Dividend	J	T					
88. Exxon Mobil (XOM) [REDACTED] IRA	A	Dividend	J	T					
89. General Electric (GE) [REDACTED] IRA	A	Dividend	J	T					
90. Honeywell (HON) [REDACTED] IRA	A	Dividend	J	T					
91. Ingersoll-Rand PLC (IR) [REDACTED] IRA	A	Dividend	J	T					
92. Kellogg (K) [REDACTED] IRA	A	Dividend			Sold	08/17/20	J	B	
93. Kimberly Clark (KMB) [REDACTED] IRA	A	Dividend	J	T					
94. Matson Inc. [REDACTED] IRA	A	Dividend			Buy	02/11/20	J		
95. Matson Inc. [REDACTED] IRA	A	Dividend			Sold	08/26/20	J	A	
96. 3M Company (MMM) [REDACTED] IRA	A	Dividend	J	T					
97. McCormick & Co. (MKC) [REDACTED] IRA	A	Dividend			Sold	08/17/20	K	D	
98. Nestle (NSRGY) [REDACTED] IRA	A	Dividend	J	T					
99. Otis Worldwide [REDACTED] IRA	A	Dividend			Spinoff (from line 112)	04/03/20	J		
100. Otis Worldwide [REDACTED] IRA	A	Dividend			Sold	08/26/20	J	A	
101. Pepsico (PEP) [REDACTED] IRA	A	Dividend	J	T					
102. Proctor & Gamble (PG) [REDACTED] IRA	A	Dividend	J	T					

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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	
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	(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)
103. Prudential Financial (PRU) [REDACTED] IRA	A	Dividend			Sold	08/26/20	J	B	
104. Raytheon Technologies Corp (TTX) [REDACTED] IRA	A	Dividend	J	T	Spinoff (from line 112)	03/04/20	J		
105. Royal Caribbean Group RCL) [REDACTED] IRA	A	Dividend	J	T	Buy	02/11/20	J		
106. Seimens (SIEGY) [REDACTED] IRA	A	Dividend	J	T					
107. Smucker (SJM) [REDACTED] IRA	A	Dividend			Sold	08/26/20	J	A	
108. Sonoco (SON) [REDACTED] IRA	A	Dividend	J	T					
109. Sysco Corp (SYY) [REDACTED] IRA	A	Dividend	J	T	Buy	02/11/20	J		
110. Trane Technologies	A	Dividend	J	T	Spinoff (from line 91)	03/02/20	J		
111. Unilever (UL) [REDACTED] IRA	A	Dividend	J	T					
112. United Technologies (UTX) [REDACTED] IRA	A	Dividend			Distributed	04/03/20	K		
113. Fidelity Government Cash Reserves [REDACTED] IRA	A	Dividend	K	T					
114.									
115.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Warren, David M.

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

Part I

Line 2: The Turner W. Battle Scholarship Trust is an asset of Rocky Mount Academy. David M. Warren has no ownership interest in the funds of approximately \$500,000. The interest from the principal is used to fund educational scholarships for students attending Rocky Mount Academy in Rocky Mount, NC.

Part II:

Line 1: The Poyner Spruill LLP Retirement Plan (pension) is currently underfunded but is insured by the Pension Benefit Guaranty Corp. David M. Warren does not have information on the performance of the pension plan and has not made contributions or withdrawals. He has no liability for its performance. The entry regarding this asset was removed from Part VII (listed in 2014 on line 8) as it is correctly reported as a pension interest in Part II.

Part VI:

Line 1: The only asset of 9 Shearwater LLC is the house at Wrightsville Beach, NC. The personal guaranty relates to the mortgage on the real property.

Part VII:

Line 1: The only asset of McLash LLC is the purchase money promissory note.

Lines 9, 40, 43, 82, 99, 100, 104, 110 and 112: Ingersoll-Rand changed its name to Trane. United Technologies spun off Otis and Carrier and then merged with Raytheon, with the stock trading now as Raytheon.

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Name of Person Reporting

Warren, David M.

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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/ **David M. Warren**

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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Washington, D.C. 20544