

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) Humrickhouse, Stephani W.	2. Court or Organization Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 12/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Court (FT)	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 Second Floor 300 Fayetteville Street Raleigh, NC 27601		
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. Board Member	Campbell University School of Law, Board of Visitors
2. Board Member	North Carolina Museum of History Associates
3. Executrix	Estate #1
4. Trustee	Trust #1
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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Name of Person Reporting

Humrickhouse, Stephani W.

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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	FMI Corp W-2
2. 2020	FMI Corp 1099
3. 2020	SSA 1099
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.

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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. Am. Equity Inv. Life Ins. Co. Flex. Prem. Deferred Ann	D	Interest	M	T					
2. Fidelity Capital Appreciation Fund	A	Dividend	L	T					
3. Etrade Brokerage Acct (H)									
4. --ABBVIE, INC. (ABBV)	A	Dividend	J	T	Buy	10/20/20	J		
5. --Apache	A	Dividend			Buy	10/30/20	J		
6.					Sold	11/12/20	J	B	
7. --Apple Inc. (AAPL)	A	Dividend	J	T	Buy (add'l)	08/31/20	J		
8.					Buy (add'l)	09/20/20	J		
9. --Blackstone Mortgage Tr. (BXMT)	B	Dividend	K	T	Buy (add'l)	05/18/20	J		
10. --Carrier					Buy	04/07/20	J		
11.					Sold	05/29/20	J	A	
12. --Energy Transfer LP (ET)	A	Dividend	J	T	Buy (add'l)	07/21/20	J		
13. --Enterprise Products Partners, LP (EPD)	A	Dividend	J	T	Buy (add'l)	04/27/20	J		
14. --EWJ	A	Dividend	K	T		05/29/20			
15.					Sold	06/03/20	K		
16. --FIEE (UBS AG London ETN)		None	J	T		05/29/20			
17.					Sold	06/03/20	J	A	

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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18. --IEV I Shares Europe ETF	B	Dividend				05/29/20			
19.					Sold	06/03/20	K	B	
20. --Invesco Exchange Traded Fund S&P 500 Top 50 (XLG)	A	Dividend	K	T					
21. --Invesco Exe. Tr. (KBWP)	A	Dividend	K	T					
22. --Invesco QQQ (QQQ)	A	Dividend	M	T					
23. --ishares Global Tech (IXN)	A	Dividend	L	T		05/29/20			
24. --ishares MBS ETF (MBB)	A	Dividend	K	T		05/29/20			
25. --iShares S&P Midcap ETF (IJH)	A	Dividend	L	T					
26. --iShares S&P Small Cap ETF (IJR)	A	Dividend	L	T					
27. --ishares Short Term National Muni Bond ETF (SUB)	A	Dividend	L	T	Buy (add'l)	08/17/20	L		
28.					Buy (add'l)	08/31/20	K		
29.					Sold (part)	08/31/20	J		
30.					Sold (part)	09/02/20	J		
31.					Sold (part)	09/10/20	J		
32.					Sold (part)	10/08/20	K		
33. --IXP	A	Dividend				05/29/20			
34.					Sold	06/03/20	J	A	

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35. --Oneok Inc. (OKE)	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
36. --OTIS		None			Buy	04/07/20	J		
37.					Sold	04/14/20	J	A	
38. --Pershing Square Ltd Public C Class USD Reg (PSHZF)	A	Dividend	J	T	Buy	10/19/20	J		
39. --Raytheon Tech Corp (RTX)	A	Dividend	J	T					
40. --RTX					Buy	04/07/20	J		
41. --SPDR Bloomberg Barclays High Yield Bond ETF (JNK)	A	Dividend	K	T					
42. --SPDR Nuveen Bloomberg Barclays Muni Bond ETF (TFI)	A	Dividend	K	T					
43. --SPDR S&P Small Capital Growth ETF (SLYG)	A	Dividend	J	T					
44. --SPDR Trust Consumer Staples ETF (XLP)	A	Dividend	K	T					
45. --SPDR Trust Healthcare (XLV)	A	Dividend	L	T					
46. --United Tech (UTX)	A	Dividend			Buy (add'l)	03/20/20	J		
47.					Distributed	04/07/20	K		split: RTX,OTIS,Carrier
48. --Vanguard Emerging Mkts ETF (VWO)	A	Dividend	J	T					
49. --Wisdomtree Trust Emerging Mkts High Div Fund (DEM)	A	Dividend	J	T	Buy (add'l)	08/24/20	J		
50. Etrade (H) IRA Rollover									
51. --Advance Micro Devices (AMD)		None			Buy	03/24/20	J		

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52.					Sold	03/26/20	J	B	
53. --Alternative Harvest ETF (MJ)		None			Buy	07/21/20	J		
54.					Sold	07/28/20	J		
55. --Apple (AAPL)	A	Dividend	J	T	Buy (add'l)	09/04/20	J		
56.					Buy (add'l)	09/21/20	J		
57. --AT&T (T)	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
58. --Bruker (BRKR)	A	Dividend	J	T	Buy (add'l)	02/25/20	J		
59. --Chemours Co. (CC)	A	Dividend	J	T	Buy (add'l)	08/25/20	J		
60. --Duluth Holdings (DLTH)		None			Sold	06/11/20	J	A	
61. --Energy Transfer (ET)	A	Dividend	J	T	Buy (add'l)	07/21/20	J		
62. --Exxon Mobile (XOM)	A	Dividend	J	T	Buy (add'l)	10/20/20	J		
63. --Genmab (GMAB)		None	J	T					
64. --Hon Hai Precision (HNHPH)	A	Dividend	J	T	Buy (add'l)	01/13/20	J		
65.					Buy (add'l)	02/13/20	J		
66. --Hewlett Packard (HPE)	A	Dividend			Buy	08/11/20	J		
67.					Sold	10/08/20	J		
68. --Intel (INTC)	A	Dividend	J	T	Buy (add'l)	08/25/20	J		

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69. --Invesco (QQQ)	A	Dividend			Buy (add'l)	03/24/20	K		
70.					Sold	06/23/20	K	B	
71. --Invesco Exc. Tr. Dynamic LargeCap (PWB)	A	Dividend	K	T	Buy (add'l)	03/16/20	J		
72. --Invitae Corp. (HVTA)		None			Buy	03/24/20	J		
73.					Sold (part)	08/20/20	J		
74.					Sold	12/15/20	J	B	
75. --Luckin Coffee (LKNCY)		None	J	T	Buy (add'l)	04/21/20	J		
76. --NeoGenomics (NEO)		None	J	T					
77. --Novocure (NVCR)	A	Dividend			Buy	03/24/20	J		
78.					Sold	12/22/20	J	C	
79. --Overstock (OSTK)		None			Sold	01/09/20	J	A	
80. --Paypal (PYPL)		None			Buy	03/24/20	J		
81.					Sold	06/23/20	J	A	
82. --ProShares S&P 500 Dividend Aris (NOBL)	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
83.					Buy (add'l)	03/02/20	J		
84.					Buy (add'l)	03/20/20	J		
85. --ProShares S&P Short (SPXU)		None			Buy	06/18/20	J		

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

3 Value Method Codes
(See Column C2)

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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86.					Sold (part)	12/09/20	J		
87.					Sold	12/28/20	J		
88. --ProShares UltraPro Short (SQQQ)		None			Buy	04/13/20	J		
89.					Sold	10/28/20	J		
90. --Sirius XM (SIRI)	A	Dividend	J	T	Buy (add'l)	04/15/20	J		
91. --SPDR S&P 500 ETF (SPY)	A	Dividend			Buy	03/24/20	L		
92.					Sold (part)	06/22/20	L	C	
93.					Sold (part)	08/25/20	L	B	
94.					Sold	11/18/20	J		
95. --Tesla, Inc. (TSLA)		None			Buy	09/03/20	J		
96.					Buy (add'l)	09/09/20	J		
97.					Sold	11/27/20	J	B	
98. --VanEck Vectors Gold ETF (GDX)	A	Dividend	J	T	Buy (add'l)	02/05/20	J		
99. --Vanguard Health Care ETF (VHT)	A	Dividend			Sold	04/09/20	J		
100. --WisdomTree Emerging Markets (DEM)	A	Dividend	J	T	Buy (add'l)	08/24/20	J		
101. Etrade Rollover IRA (H)					Open	04/24/20	O		
102. --Apache	A	Dividend			Buy	10/30/20	J		

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103.					Sold	11/02/20	J	A	
104. --Apple (AAPL)	A	Dividend	J	T	Buy (add'l)	09/02/20	J		
105. --ATT (T)	B	Dividend	K	T	Buy (add'l)	05/15/20	K		
106.					Buy (add'l)	10/19/20	J		
107. --BAEIX (mutual fund)	D	Dividend			Sold	05/07/20	N	E	
108. --BP Capital Twin MLP Fund (BPMAX) Name Change (HMSFX)	A	Dividend			Sold	05/06/20	J		
109. --Cullen High Div. Equity Classic (CHDEX)	D	Dividend			Sold	05/04/20	M	D	
110. --Enterprise Product (EPD)	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
111. --Federated Treasury Fund (cash acct)	A	Interest	O	T					
112. --Genmab (GMAB)		None	J	T	Buy (add'l)	11/27/20	J		
113.					Buy (add'l)	12/28/20	J		
114. --Ishares Trus 1-5 yr (IGSB)	D	Dividend	M	T	Buy (add'l)	08/14/20	M		
115. --Pershings Square Holdings (PSHZF)	A	Dividend	J	T	Buy (add'l)	10/29/20	J		
116. --Vanguard Value ETF (VTV)	B	Dividend			Sold	05/28/20	M	C	
117. Edward Jones Joint - 1 (H)					Closed	05/29/20	O		
118. Edward Jones IRA #1 (H)									
119. --AT&T (T)	A	Dividend	J	T					

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)

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	Date of Report
Humrickhouse, Stephani W.	12/06/2021

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.)

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)
120. --Cash Account	A	Interest	J	T					
121. --Conoco Phillips (CON)	A	Dividend	J	T					
122. --Johnson & Johnson (JNJ)	A	Dividend	K	T					
123. --Invesco Exc. Traded Lg Cap (PWB)	A	Dividend	J	T					
124. --Proshares S&P 500 Div Anst (NOBL)	A	Dividend	J	T					
125. Edward Jones IRA #2 (H)									
126. --Edward Jones Cash Account	A	Interest	J	T					
127. --NOBL (Proshares S&P 500 Div Anst)	A	Dividend	J	T					
128. --PWB (Invesco Exc. Traded Lg. Cap)	A	Dividend	J	T					
129. --Spyder Energy ETF (XLE)	A	Dividend	J	T					
130. Edward Jones Single One (H)									
131. --American Funds (TAIAX)	A	Dividend	L	T					
132. --Edward Jones Cash Account	A	Interest	J	T					
133. --Lincoln Life Ins. - Fixed		None	L	T					
134. --NC Med Care Comm Bond	C	Interest	M	T					
135. --Prudential Prem. Ret. Contract Annuity									
136. --- AST Capital Growth Asset Allocation	A	Dividend	K	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	
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Name of Person Reporting	Date of Report
Humrickhouse, Stephani W.	12/06/2021

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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137. ---AST Prudential Growth Allocation	A	Dividend	K	T					
138. ---AST Advanced Strategies Portfolio	A	Dividend	K	T					
139. ---AST J.P. Morgan Global Thematic	A	Dividend	K	T					
140. --Raleigh Durham Airport Bond	A	Interest			Redeemed	05/01/20	K		
141. Edward Jones Single 4 (H)									
142. --Edward Jones Cash Account (backed by PNC)	A	Interest	J	T					
143. --Amazon (AMZN)		None	K	T					
144. --AT&T (T)	A	Dividend	J	T	Buy (add'l)	05/20/20	J		
145.					Buy (add'l)	10/21/20	J		
146. --Danaher (DHR)	A	Dividend	K	T					
147. --DollarGen (DG)	A	Dividend	K	T					
148. --Exxon Mobile (XOM)	A	Dividend			Sold	04/16/20	K		
149. --Invesco (XMLV) S&P Midcap Low Volatility	A	Dividend	J	T	Sold (part)	10/22/20	J	A	
150. --Invesco Exc Tr. Dynamic (PWB) Large Cap Growth	A	Dividend	J	T					
151. --Ishares (DGRO) Core Dividend Growth	A	Dividend	K	T					
152. --Ishares Nasdaq Biotech (IBB)	A	Dividend	K	T					
153. --Ishares Financial Sector Index Fund (IYF)	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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Name of Person Reporting	Date of Report
Humrickhouse, Stephani W.	12/06/2021

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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154. --JP Morgan Chase (JPM)	A	Dividend	K	T					
155. --Microsoft (MSFT)	A	Dividend	K	T					
156. --Proshares S&P 500 Div Arist ETF (NOBL)	A	Dividend	J	T					
157. --Schwab US Small Cap ETF (SCHA)	A	Dividend	J	T					
158. --Spyder Cons Staples ETF (XLP)	A	Dividend	J	T					
159. --SPDR Industrials ETF (XLI)	A	Dividend	K	T					
160. --SPDR Materials Select ETF (XLB)	A	Dividend	J	T					
161. --SPDR Tech ETF (XLK)	A	Dividend	K	T	Sold (part)	12/10/20	J	A	
162. --Spyder Utilities (XLU)	A	Dividend	J	T					
163. --Target (TGT)	A	Dividend			Sold	04/16/20	J	A	
164. --Verizon (VZ)	A	Dividend	J	T					
165. Equitable Life Insurance (cash value) (H)	A	Dividend	L	T					
166. --Charter Small Cap Value	A	Dividend	J	T					
167. --Eq/500 Managed Volatility	A	Dividend	J	T					
168. --Eq/Commom Stock Index	A	Dividend	K	T					
169. --Eq/Large Cap Value Managed Volatility	A	Dividend	J	T					
170. --Guaranteed Interest Acct.	A	Interest	K	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	
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Name of Person Reporting

Humrickhouse, Stephani W.

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12/06/2021

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				
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171. --Multimanager Mid-Cap Growth	A	Dividend	J	T					
172. Equitable: Structured Capital Strategies Plus IRA (H)									
173. --MSCI EAFE ETF; 6 yr - 10% Buffer	A	Dividend	J	T	Buy (add'l)	03/30/20	J		
174. --MSCI EAFE ETF; 6 yr - 20% Buffer	A	Dividend	J	T	Buy (add'l)	03/30/20	J		
175. --Russell 2000; 6 yr - 10% Buffer	A	Dividend	K	T	Buy (add'l)	03/30/20	K		
176. --Russell 2000; 6 yr - 20% Buffer	A	Dividend	J	T	Buy (add'l)	03/30/20	J		
177. --S&P 500; 6 yr-10% Buffer	A	Dividend	L	T	Buy (add'l)	03/30/20	L		
178. --S&P 500; 6 yr - 20% Buffer	A	Dividend	K	T	Buy (add'l)	03/30/20	K		
179. Alpine 4 Technologies Ltd (Held by V-Stock Transfer)		None	J	T					
180. AXA Equitable Advisors now Equitable (H)									
181. --JP Morgan CD 48128FAXO	B	Interest	M	T					
182. --JP Morgan CD 48126Y7K3	A	Interest	K	T					
183. --JP Morgan CD 48126Y7L1	B	Interest	L	T					
184. --JP Morgan CD 48126Y7N7	A	Interest	K	T					
185. --Cash Acct - Discover	A	Interest	J	T					
186. --Delaware Life Annuity - Fixed	C	Interest	M	T					
187. Bank of America Account	A	Interest	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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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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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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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188. Durham Arvin Partnership		None	L	W					
189. GV Crabtree Partnership		None	M	W	Buy	11/15/20	M		
190. Hennion & Walsh (H)									
191. --Cash	A	Interest	J	T					
192. --Buck City PA IDA Hospital Rev; St Lukes Universal Health	B	Interest	L	T					
193. --Greater Quachita Wtr. Co. Inc; LA Waterworks & Swr Sys Rev (RFDG)	A	Interest	K	T					
194. --High Point Combined Enterprise Sys Rev Ref	A	Interest	K	T					
195. --Lauderdale City AL; AgntevHure Ctr Auth SPL Tax Bonds Rev	A	Interest	K	T					
196. --Univ. NC Gen Rev School of Arts	A	Interest	K	T	Buy	06/03/20	K		
197. Janney, Montgomery, Scott					Closed	04/24/20	O		
198. Merrill Lynch Wealth Management - CMA #1 (H)									
199. --Acadia Pharm (ACAD)		None	J	T	Buy	08/24/20	J		
200. --Eli Lilly (LLY)	A	Dividend	K	T	Sold (part)	05/14/20	J	D	
201. --Intel (INTC)	A	Dividend	K	T					
202. --Merrill Lynch Bank Deposit Program (cash)	A	Interest	J	T					
203. --Powershares Variable Rate (VRP) (Irnesco)	B	Dividend	K	T					
204. Merrill Lynch Wealth Management - CMA #2 Preferred Stock Acct (H)									

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Name of Person Reporting

Humrickhouse, Stephani W.

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205. --ALLSTATE CORP. Preferred Stock (ALLPRA) CD	A	Dividend			Redeemed	01/15/20	J	B	
206. --Allstate Preferred Stock #1 (ALLPRI)	B	Dividend	K	T					
207. --Allstate Preferred Stock #2 (ALLPRH)	B	Dividend	K	T					
208. --AT&T Preferred Stock (TPRA)	B	Dividend	K	T					
209. --Bank of America Cash Acct.	A	Interest	J	T					
210. --Bank of America Preferred Stock #1 (BACPRN)	B	Dividend	K	T					
211. --Bank of America Preferred Stock #2 (BACPRM)	C	Dividend	L	T					
212. --BlackRockCap All BCAT	B	Dividend	K	T	Buy (add'l)	09/29/20	K		
213. --Brighthouse Financial (BHFAN)	B	Dividend	K	T	Buy (add'l)	11/17/20	K		
214. --Bank of America Preferred Dep. Account - Cash	A	Interest	J	T					
215. --Duke Energy (DUKPRA)	C	Dividend	L	T					
216. --Federal Institution Prime MM (PVOXX)	A	Interest	J	T					
217. --First Horizon (FHNPRE)	B	Dividend	K	T	Buy (add'l)	05/28/20	K		
218. --Goldman Sachs (GSPRL)	B	Dividend	K	T	Buy (add'l)	08/25/20	K		
219. --JP Morgan Chase Preferred (JPMPRD)	C	Dividend	L	T					
220. --Merrill Lynch Bank Deposit Program	A	Interest	J	T					
221. --Morgan Stanley Preferred (MSPRK)	C	Dividend	L	T					

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3 Value Method Codes (See Column C2)					

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12/06/2021

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222. --Nabors Ind (NBRZ3).	B	Interest	K	T					
223. Merrill Lynch Wealth Management - IRA (H)									
224. --Acadia (ACAD)		None	J	T	Buy (add'l)	08/25/20	J		
225. --Ali Baba (BABA)		None	J	T	Buy (add'l)	12/31/20	J		
226. --Amazon (AMZN)		None	K	T	Buy (add'l)	03/19/20	K		
227. --American Airlines	A	Dividend			Buy	01/03/20	J		
228.					Buy (add'l)	02/28/20	J		
229.					Buy (add'l)	03/16/20	J		
230.					Sold	06/18/20	J		
231. --American Funds (AMBFX)	A	Dividend	K	T					
232. --Anheuser Busch (BUD)	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
233. --Apache	A	Dividend			Buy	05/19/20	J		
234.					Buy (add'l)	06/15/20	J		
235.					Sold (part)	06/19/20	J	A	
236.					Sold	07/28/20	J	B	
237.					Buy	10/29/20	J		
238.					Sold (part)	11/12/20	J	A	

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
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Name of Person Reporting

Humrickhouse, Stephani W.

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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)

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239.					Sold	12/01/20	J	B	
240. --Bank of America Cash Acct.-	A	Interest	J	T					
241. --Bank of America, NA, RASP (FIA Card Svc Cash (11AXX))	A	Interest	K	T					
242. --Best Buy (BBY)	A	Dividend			Buy	03/17/20	J		
243.					Sold	12/15/20	J	C	
244. --BLACK ROCK Res. & Commodities (BCX)	A	Dividend	J	T					
245. --Cisco (CSCO)	A	Dividend	J	T					
246. --Conoco Phillips (COP)	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
247. --Disney Co. (DIS)		None	L	T	Buy (add'l)	01/16/20	J		
248.					Buy (add'l)	02/28/20	J		
249.					Buy (add'l)	03/17/20	J		
250. --Exxon Mobil Corp (XOM)	B	Dividend	J	T	Buy (add'l)	12/02/20	J		
251. --Federated Ins't Prime MM (PVOXX) (cash acct)	A	Interest	J	T					
252. --First Time Preferred	B	Dividend			Buy	01/16/20	K		
253.					Sold	05/19/20	K		
254. --Intel (INTC)	A	Dividend			Sold	02/27/20	J	D	
255. --Int'l Paper (IP)	A	Dividend	J	T	Buy (add'l)	09/14/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)

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	Date of Report
Humrickhouse, Stephani W.	12/06/2021

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.)

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)
256. --Invesco Preferred ETF	A	Dividend			Buy	01/16/20	K		
257.					Sold	05/19/20	K		
258. --Invesco S&P Utility	A	Dividend			Sold	02/28/20	K		
259. --ishares 1-5 (IGSB)	A	Interest	J	T	Buy (add'l)	08/24/20	K		
260.					Sold (part)	09/14/20	J	A	
261. --ishares iBoxx (LQD)	A	Interest	K	T	Buy (add'l)	08/24/20	K		
262. --Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy (add'l)	12/02/20	J		
263. --JP Morgan Chase (JPM)	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
264. --Kimberley Clark (KMB)	A	Dividend	J	T	Buy (add'l)	12/02/20	J		
265. --Kinder Morgan	A	Dividend			Sold	02/28/20	J		
266. --Las Vegas Sands	A	Dividend			Buy	05/19/20	J		
267.					Sold	07/21/20	J	B	
268. --NIO, Inc. (NIO)		None	J	T	Buy (add'l)	12/02/20	K		
269. --Proctor & Gamble (PG)	A	Dividend	J	T					
270. --Roche Holdings Ltd (RHHBY)	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
271. --Royal Dutch Shell (RDSB)	A	Dividend	J	T					
272. --Royal Dutch Shell (RDSA)	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
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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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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.)

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)
273. --Southern Co.	A	Dividend			Buy	03/17/20	J		
274.					Buy (add'l)	05/19/20	K		
275.					Sold (part)	10/26/20	J	B	
276.					Sold	11/16/20	K	B	
277. --SPDR Corp. Bond ETF	A	Dividend			Buy	08/24/20	K		
278.					Sold	12/02/20	K	A	
279. --SPDR Gold Trust	A	Dividend			Buy	12/02/20	K		
280.					Sold	12/08/20	K	B	
281. --SPDR Tech (XLK)	A	Dividend			Sold	02/27/20	J	C	
282. --Vanguard Intm. Term (VCIT)	A	Dividend	K	T	Buy (add'l)	08/24/20	K		
283.					Sold (part)	12/02/20	J	A	
284. --Verizon (VZ)	A	Dividend	J	T	Buy (add'l)	01/16/20	J		
285. --Viacom	A	Dividend			Buy	03/17/20	J		
286.					Sold	06/09/20	J	C	
287. --Walmart (WMT)	A	Dividend	J	T	Buy (add'l)	07/22/20	J		
288. Nationwide Whole Life Insurance		None	J	T					
289. North State Bank Acct	A	Interest	J	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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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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.)

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)
290. SEI Private Bonds Trust Company	B	Interest	M	T	Buy	07/01/20	M		
291. Vanguard Rollover IRA (H)		None							
292. --Amarin (AMRN)		None	J	T	Buy (add'l)	02/05/20	J		
293.					Buy (add'l)	03/24/20	J		
294.					Buy (add'l)	04/03/20	J		
295. --Apache (APA)	A	Dividend			Buy	10/30/20	J		
296.					Sold	11/13/20	J	B	
297. --Apple (AAPL)	A	Dividend	K	T	Buy (add'l)	03/16/20	J		
298.					Buy (add'l)	03/20/20	J		
299.					Buy (add'l)	03/20/20	J		
300.					Buy (add'l)	03/24/20	J		
301.					Buy (add'l)	03/25/20	J		
302. --ATT (T)	B	Dividend	J	T	Buy (add'l)	05/15/20	J		
303.					Buy (add'l)	10/20/20	J		
304. --Bruker (BRKR)	A	Dividend	J	T	Buy (add'l)	01/29/20	J		
305. --Chemours (CC)	A	Dividend	J	T	Buy (add'l)	08/25/20	J		
306. --Cosan Ltd (CZZ)	A	Dividend	J	T	Sold (part)	06/05/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)

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

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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.)

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)
307. --ZTO Express Cayman (ZTO)		None	J	T					
308. --Federal Money Market Fund (Settlement Fund)	B	Interest	M	T					
309. --GlaxoSmithKline (GSK)	A	Dividend	J	T	Buy (add'l)	06/16/20	J		
310. --Global X Lithium ETF (LIT)	A	Dividend	K	T	Buy (add'l)	04/22/20	J		
311. --Invesco Dynamic Lg Cap (PWB)	A	Dividend	K	T	Buy (add'l)	03/11/20	J		
312.					Buy (add'l)	03/11/20	J		
313. --Invesco 500 (QQQ)	A	Dividend	K	T	Buy (add'l)	03/24/20	L		
314.					Sold (part)	06/23/20	L		
315. --iShares Nasdaq BioTech ETF (IBB)	A	Dividend	K	T					
316. --High Yield Corp Bond (VWEAX)	C	Interest	L	T					
317. --LexinFintech (LX)		None	J	T	Buy (add'l)	05/19/20	J		
318. --Marvel Tech (MRVL)	A	Dividend	K	T					
319. --Momo, Inc. (MOMO)	A	Dividend	J	T	Buy (add'l)	01/28/20	J		
320.					Sold (part)	08/21/20	J		
321. --Proshares S&P 500 Dividend Aristocrat ETF (NOBL)	A	Dividend	K	T	Buy (add'l)	03/11/20	J		
322.					Buy (add'l)	03/12/20	J		
323.					Buy (add'l)	03/25/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)

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

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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.)

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)
324. --Target Retirement 2025 (VTTVX)	B	Dividend	M	T	Buy (add'l)	03/10/20	J		
325.					Buy (add'l)	03/16/20	J		
326.					Buy (add'l)	03/19/20	J		
327. --Vanguard Inflation Prot. (VIPSX)	A	Dividend	K	T	Buy (add'l)	02/04/20	J		
328.					Buy (add'l)	03/16/20	J		
329. --Vanguard S&P 500 ETF (VOO)	D	Dividend	N	T		04/09/20	N		
330. --Vanguard Short Term Inv (VFSUX)	C	Interest	M	T					
331. --VFIAX (500 Index)	D	Dividend			Buy (add'l)	03/10/20	J		
332.					Buy (add'l)	03/13/20	J		
333.					Buy (add'l)	03/16/20	J		
334.						04/09/20	N		
335. --VMMXX Money Market (cash acct.)	A	Interest	J	T					
336. Vanguard Joint Brokerage Acct (H)									
337. --Alpine (ALPP)		None	O	T	Buy (add'l)	03/18/20	J		
338.					Sold (part)	04/15/20	J	C	
339.					Buy (add'l)	08/20/20	J		
340.					Sold (part)	09/01/20	J	B	

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)

A =\$1,000 or less
F =\$50,001 - \$100,000
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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

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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.)

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)
341.					Sold (part)	10/29/20	J	B	
342.					Sold (part)	11/23/20	J	D	
343.					Sold (part)	11/23/20	K	D	
344.					Sold (part)	12/09/20	K	E	
345.					Sold (part)	12/23/20	K	E	
346.					Sold (part)	12/24/20	L	E	
347.					Sold (part)	12/30/20	K	E	
348. --Capital One Bank CD	B	Interest			Redeemed	08/19/20	L		
349. --Federal Money Mkt (holding acct)	A	Interest	M	T					
350. --Invesco Dynamic Lg Cap Growth ETF (PWB)	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
351.					Buy (add'l)	03/18/20	J		
352. --ishares MSCI Emerging Mkts Min Vol ETV (EEMV)	A	Dividend	K	T					
353. --Limited Term Tax Exempt Admiral Class (VMLUX)	A	Interest	L	T	Buy (add'l)	08/12/20	M		
354.					Sold (part)	10/28/20	L		
355. --Proshares S&P 500 Dividend Aristocrat ETF (NOBL)	A	Dividend	K	T	Buy (add'l)	03/18/20	J		
356. --Vanguard Cash Reserves Fed. Money Mkt (VMMXX) (checking)	A	Interest	L	T					
357. --Vanguard Large Capital ETF (VV)	B	Dividend	M	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

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

3 Value Method Codes
(See Column C2)

Q =Appraisal
U =Book Value

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)

358. --Vanguard S&P 500 Index ETF (VOO)	C	Dividend	M	T	Buy (add'l)	03/13/20	J		
359.					Buy (add'l)	03/18/20	J		
360.					Buy (add'l)	03/20/20	J		
361. Dogwood State Bank		None	K	T	Buy	10/10/20	K		

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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Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

12/06/2021

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

I. Positions

3. Filer was appointed Exxecutrix under Will of [REDACTED]. The estate has not yet been administered pending expiration of notice under state law.
- 4 Filer was named as Trustee under trust created under Will of [REDACTED]. Trust is not yet funded.

VII. Investments and Trusts

Lines 14, 16, 18, 23, 24, 33 represent investments transferred in kind (not sold) from closed Edward Jones Joint Account (line 117) into Etrade Brokerage Acct (line 3).

Line 46: United Tech split into RTX, OTIS and Carrier on 4/7/2020

Line 101: The Janney Montgomery Scott account (Line 193) was transferred in kind (not sold) to the Etrade Rollover IRA on 4/24/2020; stocks in the account on the date of transfer are reported on lines 107, 108, 109, 111, 116.

Line 254: Invesco S&P Utility was acquired on 11/16/2018, but was erroneously omitted from previous reports.

Line 325: VFIAX (line 327), a mutual fund, was transferred in kind (not sold) to the ETF equivalent, VOO (line 325).

Line 327: VFIAX (line 327) transferred in kind (not sold) to ETF equivalent (line 325).

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Name of Person Reporting	Date of Report
Humrickhouse, Stephani W.	12/06/2021

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/ **Stephani W. Humrickhouse**

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