

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Stocks, William L.	2. Court or Organization U. S. Bankruptcy Court - MDNC	3. Date of Report 04/23/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Bankruptcy Judge -Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U. S. Bankruptcy Court 101 S. Edgeworth Street Greensboro, N.C. 27401		
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.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Stocks, William L.

Date of Report

04/23/2013

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.

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.	Middle District Bankruptcy Seminar, Inc.	April 19-21	Aberdeen, N.C.	Bankruptcy Seminar	Registration Fee, Lodging & Meals
----	--	-------------	----------------	--------------------	-----------------------------------

2.	N.C. Bar Association	May 11	Cary, N.C.	Educational Program	Registration Fee & Mileage
----	----------------------	--------	------------	---------------------	----------------------------

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting
Stocks, William L.

Date of Report
04/23/2013

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Stocks, William L.

Date of Report

04/23/2013

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. Schwab & Co. Money Market Fund (IRA)	A	Dividend	J	T					
2. Harbor Bond Fund (IRA)	A	Dividend	K	T					
3. Vanguard Short Term Bond Fund (IRA)	A	Dividend	K	T					
4. Berger Mid-Cap Value Fd (IRA) (Now Perkins Mid-Cap Value Fd)	A	Dividend	K	T					
5. Oakmark Equity Income Fund (IRA)	A	Dividend	K	T					
6. Fidelity Convertibles Securities Fund (IRA)	A	Dividend	K	T					
7. Accounts at Wachovia Bank & Trust Co. (now Wells Fargo Bank)	A	Interest	J	T					
8. Limited Partnership Interest in Robbins Housing Ltd.		None	J	W					
9. Checking Account at BB&T	A	Interest	J	T					
10. Checking Account at BB&T	A	Interest	M	T	Buy (add'l)	11/29/12	L		
11. Lincoln Nat. Stock/Roth IRA (fka Jeff-Pilot)	A	Dividend	J	T					
12. Artisan International Fund (IRA Rollover)	A	Dividend	K	T					
13. Fidelity Diversified Int. Fund (IRA Rollover)	A	Dividend	K	T					
14. Fidelity Growth Company Fund (IRA Rollover)	A	Dividend	K	T					
15. Janus Growth & Income Fund (IRA Rollover)	A	Dividend	K	T					
16. Janus Olympus Fund (IRA Rollover) (now Janus Global Select)	A	Dividend	J	T					
17. Julius Baer Int. Eq. Fund (IRA RO) (now Artio Int Eq. Fund)	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,001 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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Stocks, William L.

Date of Report

04/23/2013

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 Growth Index Fund (IRA Rollover)	A	Dividend	K	T					
19. Vanguard Index Trust 500 (IRA Rollover)	A	Dividend	K	T					
20. William Blair Int. Growth Fund (IRA Rollover)	A	Dividend	K	T					
21. Schwab & Co. Money Market Fund (IRA Rollover)	A	Interest	L	T					
22. Royce Low Price Stock Fund (IRA Rollover)	A	Dividend	K	T					
23. Tweedy Brown Global Value Fund (IRA Rollover)	A	Dividend	K	T					
24. American Beacon Large Cap	A	Dividend	K	T					
25. Loomis Sayles Bond Fund	A	Dividend	J	T					
26. Wachovia Money Market (now Wells Fargo Bank)	A	Dividend	K	T	Buy (add'l)	11/29/12	K		
27. Davenport & Co (Federated Prime Cash Series)MM-See Part VIII	A	Dividend			Sold	11/28/12	K	A	
28. Davenport & Co. (Federated Prime Cash Series) Money Market	A	Dividend			Sold	11/28/12	L	A	
29. Gabelli Small Cap Growth	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Stocks, William L.

Date of Report

04/23/2013

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Stocks, William L.

Date of Report

04/23/2013

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/ **William L. Stocks**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544