

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Stone, Jr., William F.	2. Court or Organization Bankruptcy Court for the Western District of Virginia	3. Date of Report 05/08/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address Commonwealth of Virginia Building 210 Church Ave., SW, Room 209 Roanoke, VA 24011		
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.	Co-Trustee	Trust #1
2.	Trustee	Trust #2
3.	Executor	Estate of [REDACTED] (see note # 9)
4.	Inactive Trustee of var. deeds of trust as a result of prior law practice	Various
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

Monthly retirement benefit paid to spouse from the Virginia Retirement System for service as teacher

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*

	<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.	Scott & Stringfellow	margin account loan for vacation home improvements, paid in full by 3/01/2013	None
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. Baxter Int'l, Inc.	B	Dividend	L	T					
2. BP PLC	B	Dividend	K	T					
3. Cardinal Health, Inc.	A	Dividend	J	T					
4. Carefusion Corp.		None	J	T					
5. Chevron Texaco Corp. (see note #1)	E	Dividend	O	T					
6. Coca Cola (see note #1)	D	Dividend	N	T					
7. BB&T Corporation	D	Dividend	N	T					
8. Branch Banking & Trust Co. Insured Deposit Program	A	Interest	J	T					
9. Colgate Palmolive Co.	C	Dividend	M	T					
10. Conagra Foods, Inc.	A	Dividend	K	T					
11. E.I. duPont	D	Dividend	M	T	Sold (part)	02/15/13	J	C	market
12. Eaton Corporation PLC	B	Dividend	L	T	Sold (part)	02/22/13	J	B	market
13. Eastman Kodak (see note #2)		None			Closed	09/11/13	J		
14. Exxon Mobil Corp. (see note #1)	E	Dividend	P1	T	Donated (part)				
15. Freeport McMoran Copper & Gold	C	Dividend	L	T					
16. General Electric Corp.	C	Dividend	M	T					
17. Eagle - JP Morgan Prime Money Market Fund	A	Dividend	M	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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18. Raymond James Bank Deposit Program	A	Interest	L	T					
19. IBM	B	Dividend	L	T					
20. Ingles Markets, Inc.	A	Dividend	K	T					
21. International Paper	B	Dividend	L	T					
22. NCR Corp		None	J	T					
23. Norfolk Southern Corp.	D	Dividend	N	T					
24. Northwestern Mutual Life Ins. Co. (see note #1)	E	Dividend	O	T					
25. Schlumberger Ltd.	A	Dividend	K	T					
26. Sealed Air Corp. (common)	A	Dividend	K	T					
27. Sprint Nextel Corp. (see notes #1 & 3)		None			Merged (with line 30)	07/11/13	J	E	cash & stock merger
28. Ultralife Batteries, Inc.		None	J	T					
29. YUM Brands, Inc. (see note #1)	C	Dividend	M	T					
30. Sprint Corp., Ser. 1 (see notes #1 & 3) (see line 27)		None	J	T		07/11/13	J		cash & stock merger
31. Pepsico, Inc. (see note #1)	D	Dividend	O	T					
32. AT&T (see note #1)	A	Dividend	K	T					
33. Branch Banking & Trust Co. of VA Accts (see note #1)	A	Interest	M	T					
34. Stifel Nicolaus Insured Bank Deposit Program	A	Interest	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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35. Frontier Communications Corp.	D	Dividend	L	T	Sold (part)	02/07/13	J		market
36. Republic Services, Inc.	B	Dividend	K	T	Sold (part)	02/15/13	J		market
37. Eagle Growth & Income Fund Class A M/F (see note #1)	D	Dividend	N	T					
38. Federated VA Muni Service (formerly VA Municipal Cash Trust)	A	Interest	J	T					
39. Archer Daniels Midland Co.	A	Dividend	K	T					
40. Bristol Myers Squibb Co.	B	Dividend	L	T					
41. Eastman Chemical Co.	A	Dividend	K	T					
42. Glaxo Smith Kline PLC (see note # 1)	D	Dividend	M	T					
43. Honeywell Int'l Inc.	A	Dividend	J	T					
44. Intel Corp. (see note #1)	B	Dividend	L	T					
45. Kroger Co.	A	Dividend	K	T					
46. Whirlpool Corp.	A	Dividend	J	T					
47. Microsoft Corp.	A	Dividend	J	T					
48. Johnson & Johnson	B	Dividend	K	T					
49. Texas Instruments Inc.	A	Dividend	J	T					
50. Xerox Corporation	A	Dividend	K	T					
51. Zimmer Holdings	A	Dividend	J	T					

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52. Federated Strategic Value Div Fund Class A M/F	A	Dividend	J	T					
53. Pimco Total Return Fund Class A M/F	A	Dividend	J	T					
54. Thornburg Investment Income Builder Fund Class I N/L	A	Dividend	J	T					
55. VanGuard Short Term Bond Index Fund Investor Class N/L	A	Dividend	J	T					
56. SPDR Index SHS Funds S&P INTL Div ETF	A	Dividend	J	T					
57. SPDR Series Trust S&P Div ETF	B	Dividend	L	T					
58. Sector SPDR TR SBI INT-UTILS	B	Dividend	K	T					
59. General Mls Inc.	B	Dividend	K	T					
60. IRA #2 (H)									
61. -- Verizon Comm. (GTE) Debenture	A	Interest	J	T					
62. -- Eagle Capital Appreciation Trust Fund	A	Dividend	L	T					
63. -- Eagle Growth & Income Trust Fund	C	Dividend	M	T					
64. -- Eagle Mid Cap Stock Fund	D	Dividend	L	T					
65. -- Eagle International Equity Fund		None			Sold	04/25/13	L		market
66. -- Raymond James Bank Deposit Program (cash balance)	A	Interest	K	T					
67. IRA #3 (H)									
68. -- Eagle Int'l Equity Fund Class A		None			Sold	04/25/13	L		market

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69. -- Eagle Mid Cap Stock Fund Class A	E	Dividend	N	T					
70. -- Eagle Growth & Income Trust Fund	D	Dividend	N	T					
71. Trust #1 (1/3 beneficiary) (see note # 4) (H)									
72. -- Abbott Labs (see note # 6)	C	Dividend	L	T	Distributed (part)	01/02/13	L		spinoff (see line #90)
73. -- Aston/River Road Div All Cap Val Fund	B	Dividend	L	T					
74. -- BB&T Corp.	E	Dividend	O	T					
75. -- Chevron Texaco Corp.	D	Dividend	M	T					
76. -- General Electric Co. Com	A	Dividend	K	T					
77. -- Illinois Tool Works, Inc.	A	Dividend	K	T					
78. -- Intel Corp.	A	Dividend	K	T					
79. --Lowe's Companies, Inc.	B	Dividend	M	T					
80. -- Merk Hard Currency Fund	A	Dividend	K	T					
81. -- Minnesota Mining & Manuf.	B	Dividend	L	T					
82. -- Norfolk Southern Corp.	B	Dividend	L	T					
83. -- Oracle Corp.	A	Dividend	K	T					
84. -- Raymond James Money Market Account (cash balance)	A	Interest	J	T					
85. -- Unilever Plc ADR	A	Dividend	K	T	Buy (add'l)	10/07/13	K		market

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86. -- United Technologies Corp.	A	Dividend	K	T					
87. -- Verizon Communications	B	Dividend	K	T	Sold (part)	09/24/13	K	D	market
88. -- TD Ameritrade Money Market Acct.	A	Interest	L	T					
89. --Northwestern Mutual Life Insurance Co.	C	Dividend	M	T					
90. --Abbvie, Inc.(see note #6)	C	Dividend	L	T	Spinoff (from line 72)	01/02/13	L		
91. -- Sector SPDR TR SBI	A	Dividend	K	T					
92. -- Powershares ETF Intl Divd Achievers	B	Dividend	M	T					
93. -- SPDR Series Trust S& P Divid ETF	D	Dividend	M	T					
94. -- Vanguard Short Term Bond Stock Index Fund	A	Dividend			Sold	10/17/13	L		market
95. -- Ishares TR DJ Sel Div Inx	B	Dividend	L	T					
96. -- Ishares TR Hgh Div Eqt Fd	B	Dividend	K	T					
97. Trust #2 (H)									
98. -- BB&T checking account	A	Interest	J	T					
99. Centurylink (see note # 1)	B	Dividend	K	T					
100. Windstream Corp. (common) (see notes #1 & 7)	A	Dividend				09/13/13	J		see line # 108
101. Pfizer Inc.	A	Dividend	K	T					
102. Fundamental Investors 529 Plan	A	Dividend	J	T					

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103. Washington Mutual Investors Fund 529 Plan	A	Dividend	J	T					
104. AMCAP Fund 529 Plan	A	Dividend	J	T					
105. SMALLCAP World Fund 529 Plan	A	Dividend	J	T					
106. Investment Company of America 529 Plan	A	Dividend	J	T					
107. Unilever N.V. NY SHS New	A	Dividend	K	T					
108. Windstream Holdings, Inc. (see notes # 1 & 7)	A	Dividend	J	T	Spinoff (from line 100)	09/13/13	J		
109. Rental Property, Myrtle Beach, SC (see note #8)	E	Rent	N	R					
110. Capital Income Builder - 529A	A	Dividend	J	T	Buy	12/16/13	J		market
111. Trust #5 (see note #5) (H)									
112. -- BP PLC	A	Dividend			Sold	07/23/13	J		market
113. -- Duke Energy Corp. New	B	Dividend	J	T	Sold (part)	07/23/13	J	D	market
114. -- Frontier Communications Corp.	A	Dividend			Sold	07/23/13	J		market
115. -- Piedmont Nat Gas	B	Dividend			Sold	07/23/13	J	C	market
116. -- Southern Company	B	Dividend			Sold	07/23/13	J	D	market
117. -- Spectra Energy Corp.	A	Dividend	K	T					
118. -- Travelers Companies Inc.	A	Dividend	J	T					
119. -- Verizon Communications Inc.	B	Dividend	K	T					

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Name of Person Reporting

Stone, Jr., William F.

Date of Report

05/08/2014

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. -- Raymond James Bank Deposit Program	A	Interest	K	T					
121. --iShares Russell 1000 GRW ETF	A	Dividend	K	T	Buy	09/16/13	K		market
122. --iShares Russell 2000 ETF	A	Dividend	K	T	Buy	09/16/13	K		market
123. --SPDR Series Trust S&P Div	A	Dividend	K	T	Buy	09/16/13	K		market
124. --SPDR S&P Midcap 400 ETF Trust	A	Dividend	K	T	Buy	09/16/13	K		market

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

1. Investments in same companies of reporting person and spouse have been combined for this report.
2. As a result of its bankruptcy proceeding the common stock of Eastman Kodak was determined to be worthless on 09/11/13.
3. On 7/11/13 Sprint Nextel Corp. completed a merger transaction as a result of which its stock was exchanged for a combination of cash and stock in Sprint Corp., Ser 1.
4. The reporting person is a co-trustee and deemed to be one of three principal beneficiaries of this family trust. Accordingly, 1/3rd of trust asset values and income is reported.
5. The reporting person's [REDACTED] is the trustee and principal present beneficiary of this Trust.
6. On 01/02/13 Abbott Labs distributed to its shareholders stock in a corporation named Abbvie, Inc.
7. On 09/13/13 Windstream Corp. merged into a new corporation named Windstream Holdings, Inc. and the former's stock was converted into shares of the surviving corporation, share for share. No entry is made in Column D(1) for this transaction because the FDR software program for some unknown reason will not accept a "merger" input at line 100.
8. The purchase price of the real estate, in 2010, was \$405,000, \$20,000 of which was allocated to furnishings in the property. Part VII, line 123.
9. The only undistributed assets held in the Estate of [REDACTED] are a very few unsold items of personalty. Part I, line 3.
10. The filer's successor was sworn in on 01/02/14 and therefore that day was the filer's last day in office. No material change in any information provided in this report occurred between 12/31/13 and that date. Effective as of that same date the reporting person received a one year "recall" appointment as bankruptcy judge from the Court of Appeals for the Fourth Circuit. It is anticipated, however, that the services expected to be rendered due to this recall appointment will be fewer than sixty (60) days so as to obviate the need to file a further annual report. Accordingly, the filer REQUESTS THAT THE COMMITTEE ACCEPT THIS AS A FINAL REPORT on the understanding that if the services actually rendered are above the threshold level, a further report will be filed in 2015. The address used is that of the filer's last day in regular service and mail may continue to be addressed to the reporting person at such address. The reporting person serves without any personal staff and has no chambers address other than as noted here, although his deemed duty station as recall judge is his residence address, which is not provided for security reasons.

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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/ **William F. Stone, Jr.**

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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