

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) Whitley, James C.	2. Court or Organization Bankruptcy Court-WDNC	3. Date of Report 07/31/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - Active	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 Charles R. Jonas Federal Bldg. 401 W. Trade Street Charlotte, NC 28202		
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.	Attorney-in-fact	POA #1*
2.	Trustee	Trust #1*
3.	Executor	Estate #1*
4.		
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.)*

<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. 2013	Self-employed Attorney
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. NC Bar Association Annual Bankruptcy Seminar	11/21/13 - 11/22/13	Wilmington, North Carolina	Attend State Bankruptcy Seminar	Meals, hotel and transportation.
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. CBF Agg Growth Fund	A	Dividend	K	T					
2. CBF Agg Growth Fund	A	Dividend	K	T					
3. LM Cap Mgmt Leading Co Tr	A	Dividend	K	T					
4. American Funds New Perspective Mutual Fund	B	Dividend	M	T					
5. American Funds Washington Mutual Funds	B	Dividend	M	T					
6. [REDACTED] P.C.	F	Distribution	K	W					
7. American Funds Washington Mutual Funds	A	Dividend	K	T					
8. American Funds Templeton Foreign Mutual Fund	A	Dividend	J	T					
9. RBC Money Market Sweep Accounts	A	Interest	K	T					
10. American Funds New Perspective Mutual Fund	B	Dividend	K	T	Sold (part)	09/18/13	J	A	
11. Belmont Federal Savings & Loan Account	A	Interest	K	T					
12. American Funds Templeton Dev Mkt Foreign Mutual Fund	A	Dividend	J	T					
13. American Funds Washington Mutual Funds	A	Dividend	J	T					
14. Growth Fund American Mutual Fund	A	Dividend	K	T					
15. Black Rock US Opp Class C	A	Dividend	J	T					
16. Legg Mason Special Investment Trust		None	J	T					
17. American Funds New Perspective Mutual Fund	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 \$5,000,000	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) Amount Code I (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. Legg Mason Value Trust Mutual Fund		None	J	T					
19. Legg Mason Cap Mgmt Sp Inv Tr	A	Dividend	J	T	Sold (part)	09/23/13	J	A	
20. Royce Total Return Fund, a/k/a/ Royce FD	B	Dividend	L	T					
21. RBC Money Market Savings Acct	A	Interest	J	T					
22. Europac Growth Fund	A	Dividend	J	T					
23. Invesco Am Fr Fund Class A f/k/a Invesco Aim Constellation Mutual Fund	B	Dividend	K	T					
24. Wachovia Bank Various Accounts	A	Interest	L	T					
25. Estate 1									
26. Belmont Federal Various Accounts	A	Interest	L	T	Open	09/16/13	L		
27. Spectra Energy	A	Dividend	J	T					
28. Asset Group #1*:									
29. Rental Property, Charlotte, NC	D	Rent	M	W					
30. TRUST 1: *									
31. Residential Lot #1, Gaston County, NC		None	M	W					
32. Residential Lot #2, Gaston County, NC		None	K	W					
33. Residential Lot #3, Gaston County, NC		None	K	W					
34. Residential Lot #4, Gaston County, NC		None	J	W					

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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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☐ 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)
35. Residential Lot #5, Gaston County, NC		None	J	W					
36. Residential Lot #6, Gaston County, NC		None	J	W					
37. Residential Lot #7 (1/2 Interest) Gaston County, NC		None	K	W					
38. Residential Lot #8 (1/2 Interest) Gaston County, NC		None	J	W					
39. Residential Lot #9 (1/2 Interest) Gaston County, NC		None	J	W					
40. Residential Lot #10 (1/2 Interest) Gaston County, NC		None	J	W					
41. Residential Lot #11 (1/2 Interest) Gaston County, NC		None	J	W					
42. Residential Lot #12 (1/2 Interest) Gaston County, NC		None	J	W					
43. Belmont Federal Various Accounts	A	Interest	K	T					
44. Wachovia Various Accounts	A	Interest	L	T	Open	12/19/13	J		
45. RBC Money Market Sweep Acct	A	Interest	J	T					
46. Invesco AIM Investments European Growth Fund Class A	A	Dividend	K	T					
47. American Funds Capital World Bond Fund Class A	C	Dividend	M	T					
48. American Funds Europacific Growth Fund Class A	A	Dividend	L	T					
49. American Funds Growth Fund of America Class A	A	Dividend	M	T					
50. American Funds Investment Co of America Class A	B	Dividend	M	T					
51. Capital World Bond Fund	C	Dividend	M	T					

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52. Barclays BK/DEL CD	A	Interest			Matured	04/23/13	J		
53. Capitol One Bank CD	A	Interest			Matured	04/15/13	L		
54. LaSalle Bank CD	B	Interest	K	T					
55. Goldman Sachs Bank CD	A	Interest	K	T					
56. Mercantile Bank f/k/a Merchant Bank Orlando CD	A	Interest			Matured	04/15/13	L		
57. Union Bank NA CD	A	Interest	K	T					
58. Harris National Association CD	A	Interest			Matured	04/15/13	K		
59. Bank of the West CD	A	Interest			Matured	04/15/13	L		
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I, #1 and #3 - Assets held under a power of attorney were listed as Trust #1 in the 2013 Report. [REDACTED] passed away and I became Execuotr of decendent's estate on 9/16/13.

Part I, #2 - Trust #1 is Trust #2 in last year's report.

Part VII, #25 - Same Trust #1 in 2013 Report. [REDACTED] passed and I became executor of decendent's estate on 9/16/13.

Part VII, #37 - Trust 2 is the same as Trust 1 in the 2013 Report.

Part VII, #52 - Correct error in 2013 Report. RBS Sweep Account was represented as closed in 12/19/13. It was not.

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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/ **James C. Whitley**

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