

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 03/04/2013
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Attorney-in-fact	Trust #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.	

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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. 2011	Attorney at Law
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	11/17/2011 - 11/19/2011	Asheville, 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.)*

	<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.			
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 Leading Co Trust Fund	A	Dividend	J	T					
4. American Funds. New Perspective Mutual Fund	B	Dividend	M	T					
5. American Funds Washington Mutual Mutual Funds	B	Dividend	L	T					
6. [REDACTED]	F	Distribution	K	W					
7. American Funds Washington Mutual Mutual Funds	A	Dividend	J	T					
8. American Funds. Templeton Foreign Mutual Fund	A	Dividend	J	T					
9. RBC Money Market Sweep (X)	A	Interest	K	T					
10. American Funds. New Perspective Mutual Fund	A	Dividend	K	T					
11. Belmont Federal Savings & Loan Account	A	Interest	J	T					
12. American Funds. Templeton Dev. Mkt. Foreign Mutual Fund	A	Dividend	J	T					
13. American Funds Washington Mutual Mutual Funds	A	Dividend	K	T	Sold (part)	12/30/11	J		
14. Growth Fund American Mutual Fund		None	J	T	Buy	12/30/11	J		
15. Black Rock US Opp Class C		None	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000 R = More than \$5,000,000	M = \$100,001 - \$250,000 Q = \$250,001 - \$500,000,000	P = \$500,001 - \$1,000,000,000
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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☐ 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 Special Inv. Trust Mutual Fund		None			Sold	05/05/11	J	A	
20. Royce Total Return Fund		None	K	T					
21. RBC Money Market Savings Acct	A	Interest	J	T					
22. Europac Growth Fund	A	Dividend	K	T	Buy	12/22/11	K		
23. Legg Mason Special Inv. Trust Mutual Fund		None			Sold	08/19/11	J		
24. Invesco Aim Constellation Mutual Fund		None	K	T					
25. Legg Mason Special Inv. Trust		None			Sold	12/22/11	K		
26. Wachovia Bank Various Accounts	A	Interest	K	T					
27. TRUST 1:									
28. - Residential Lot #1, Gaston County, NC		None	M	W					
29. - Residential Lot #2, Gaston County, NC		None	K	W					
30. - Residential Lot #3, Gaston County, NC		None	K	W					
31. - Residential Lot #4, Gaston County, NC		None	J	W					
32. - Residential Lot #5, Gaston County, NC		None	J	W					
33. - Residential Lot #6, Gaston County, NC		None	J	W					
34. - Residential Lot #7 (1/2 Interest) Gaston County, NC		None	K	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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35. - Residential Lot #8 (1/2 Interest) Gaston County, NC		None	J	W					
36. - Residential Lot #9 (1/2 Interest) Gaston County, NC		None	J	W					
37. - Residential Lot #10 (1/2 Interest) Gaston County, NC		None	J	W					
38. - Residential Lot #11 (1/2 Interest) Gaston County, NC		None	J	W					
39. - Residential Lot #12 (1/2 Interest) Gaston County, NC		None	J	W					
40. - Belmont Federal Various Accounts	B	Interest	L	T					
41. - Wachovia Various Accounts	A	Interest	K	T					
42. - RBC Money Market Sweep Acct	A	Interest	J	T					
43. - Invesco AIM Investments European Growth Fund Class A	A	Dividend	K	T					
44. - American Funds Capital World Bond Fund Class A	D	Dividend	M	T					
45. - American Funds Europacific Growth Fund Class A	A	Dividend	K	T					
46. - American Funds Growth Fund of America Class A	A	Dividend	L	T					
47. - American Funds Investment Co of America Class A	B	Dividend	L	T					
48. - Legg Mason Global Income Trust	A	Dividend	J	T					
49. Capital World Bond Fund	A	Dividend	K	T					
50. Europacific Growth Fund Class A	A	Dividend	J	T					
51. Growth Fund of America Class A	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Barclays BK/DEL CD	A	Interest	J	T					
53. Investment Company of America	A	Dividend	J	T					
54. Doral Bank Catano CD	B	Interest	L	T					
55. - Spectra Energy	A	Dividend	K	T					
56. Capitol One Bank CD	C	Interest	L	T					
57. LaSalle Bank CD	B	Interest	K	T					
58. Goldman Sachs Bank CD	A	Interest	K	T					
59. Merchant Bank Orlando CD	C	Interest	L	T					
60. Firstbank PR Santurce CD	B	Interest	M	T					
61. Harris National Association CD	B	Interest	K	T					
62. Bank of the West CD	B	Interest	L	T					
63. HSBC Bank USA McLean CD	A	Interest	K	T					
64. Asset Group #1:									
65. - Rental Property #1, Charlotte, NC		None			Donated				
66. - Rental Property #2, Charlotte, NC		Rent	M	W					

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

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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
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Washington, D.C. 20544