

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

*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) Warren, David M.	2. Court or Organization U.S. Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 08/22/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address Century Station Post Office and Courthouse 300 Payetteville Street, Room 323 Raleigh, NC 27601-1749		
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. Chairman	FRMT, Ltd.
2. Chairman	Turner W. Battle Scholarship Trust (Rocky Mount Academy)
3. Power of Attorney	POA #1
4. Director	Paramount Condominium Homeowners Association, Inc.
5. President	9 Shearwater Street Condominium Owners Association, Inc.
6. Manager	9 Shearwater LLC
7. Manager	Roofjumpers LLC
8. Manager	McLash LLC
9. Adjunct Professor	Norman A. Wiggins School of Law (Campbell University)
10. Co-Executor	Decedant's Estate #1

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. 1/1/1991	Poyner Spruill LLP Retirement Plan, former law firm. This is a qualified pension plan that was discontinued in approximately 1991.

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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. 9/13/2016	Campbell University -Salary	\$2,500.00
2. 10/14/2016	Campbell University-Salary	\$2,500.00
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. 2016	Smith Moore Leatherwood LLP- Salary
2. 2016	K & L Gates LLC-Salary
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. Kappa Alpha Order Educational Foundation	4/8/2016-4/9/2016	Greenville, SC	Board Meeting	transportation, lodging food
2. Eastern Bankruptcy Institute, Inc.	5/4/2016-5/6/2016	Myrtle Beach, SC	Seminar	transportation, lodging, food
3. FRMT Ltd.	6/9/2016-6/10/2016	Indianapolis, IN	Board Meeting	transportation, lodging, food
4. Kappa Alpha Order	7/29/2016-7/30/2016	Oklahoma City, OK	Board Meeting	transportation, lodging, food
5. National Conference of Bankruptcy Judges	10/25/2015-10/27/2016	San Francisco, CA	Annual Meeting	lodging

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6.	N.C. Bar Association	11/18/2016	New Bern, NC	NC Bar Association Annual Bankruptcy Institute	transportation, lodging, food
7.	Turnaround Management Association	12/6/2016	Charlotte, NC	Annual Meeting	transportation, lodging, food

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. Sound Bank

Personal Guaranty on Loan to a Limited Liability Company

M

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. Purchasee Money Mortgage Held by LLC	D	Dividend	L	T					
2. Rental Raleigh, Wake County, NC (50% interest)	D	Rent	M	W					
3. House, Investment, Littleton, NC (50% interest)(X)		None	P1	W					
4. House, Wrightsville Beach, NC (1/3 interest)		None	N	W	Buy	12/21/16	M		Frank Hirsch
5. Northwestern Mutual Life Whole Life Policy	C	Dividend	M	T					
6. National Life Whole Life Policy	B	Dividend	K	T					
7. Mutual Trust Whole Life Policy	A	Dividend	K	T					
8. Allergan PLC (AGN)	A	Dividend	K	T	Buy	04/21/16	K		
9. Anheuser-Busch Inbev (BUD)		None	K	T	Buy	11/04/16	K		
10. Avansix (ASIX)		None			Spinoff (from line 36)	10/03/16	J		
11.					Sold	12/02/16	J	A	
12. Boeing (BA)	B	Dividend	K	T	Buy	02/29/16	K		
13. Boston Beer Company (SAM)		None	K	T	Buy	03/14/16	K		
14. Chemours		None			Sold	01/19/16	J	A	
15. Clorox (CLX)	B	Dividend	L	T					
16. Coca Cola (KO)	A	Dividend	K	T					
17. Conagra Foods (CAG)	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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18. Cummins (CMI)	B	Dividend	K	T					
19. Dieago (DEO)	A	Dividend	K	T					
20. Dow Chemical Company	A	Dividend			Sold	08/09/16	K	C	
21. DuPont (DD)	A	Dividend			Sold	07/19/16	K	A	
22. Eastman Chemical Company	A	Dividend			Sold	07/19/16	K	A	
23. Eaton Corp (ETN)	B	Dividend	K	T					
24. Emerson Electric (EMR)	A	Dividend	K	T					
25. Exxon Mobil (XOM)	B	Dividend	K	T					
26. Flowers Foods (FLO)	A	Dividend			Buy	04/01/16	K		
27.					Sold	08/16/16	K	A	
28. Fluor (FLR)	A	Dividend			Sold	04/01/16	K	A	
29. General Electric (GE)	A	Dividend	K	T					
30. General Mills (GIS)	A	Dividend	K	T					
31. Hain Celestial Group (HAIN)		None	K	T	Buy	11/28/16	K		
32. Halyard Health (HYH)		None			Buy	04/06/16	K		
33.					Sold	08/26/16	K	D	
34. Heineken (HEINY)	A	Dividend	K	T					

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35. Hershey Company	A	Dividend	K	T					
36. Honeywell (HON)	A	Dividend	K	T	Buy	08/09/16	K		
37. IBM	A	Dividend			Sold	07/19/16	K	A	
38. Johnson & Johnson (JNJ)	B	Dividend	K	T					
39. Kellogg (K)	A	Dividend	K	T					
40. Kimberly-Clark (KMB)		None	K	T	Buy	12/02/16	K		
41. Kraft Heinz Company (KHC)	B	Dividend	K	T					
42. Lamb Weston Holdings (LW)		None			Spinoff (from line 17)	11/17/16	J		
43.					Sold	12/06/16	J	A	
44. McCormick & Co. (MCK)	B	Dividend	L	T					
45. McDonalds (MDC)	A	Dividend			Sold	02/29/16	L	D	
46. Monsanto Company	A	Dividend	K	T					
47. 3 M (MMM)	B	Dividend	K	T					
48. Nestle (NSRGY)	A	Dividend	K	T					
49. Pepsico (PEP)	B	Dividend	L	T					
50. Proctor & Gamble (PG)	B	Dividend	K	T					
51. Royal Dutch Shell (RDSB)	B	Dividend	K	T					

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52. Smucker (SJM)		None	K	T	Buy	11/08/16	K		
53. Snyders-Lance (LNCE)	A	Dividend	K	T					
54. Sonoco (SON)	A	Dividend			Sold	04/13/16	K	E	
55. Suncor Energy (SU)	A	Dividend			Sold	04/01/16	K	A	
56. Unilever PLC	A	Dividend	K	T					
57. United Technologies (UTX)	B	Dividend	L	T	Buy (add'l)	02/29/16	K		
58. Verizon (VZ)		None			Buy	11/08/16	K		
59.					Sold	11/17/16	K	A	
60. Fidelity Cash Reserves	A	Dividend	L	T					
61.									
62. First Citizens Bank A	A	Dividend	K	T					
63. First Citizens Bank B Preferred	A	Dividend	K	T					
64. Hercules Capital (HTGC) (X)	A	Dividend	K	T					
65. Kinder Morgan (KMI)(X)		None	K	T					
66. Pepco Holdings	A	Dividend			Sold	03/28/16	J	A	
67. Petroleo Brasileiro		None			Sold	12/22/16	J	A	
68. Royal Bank of Canada (RY)(X)	A	Dividend	J	T					

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69. Ameriprise Insured Money Market	A	Interest	J	T					
70. Fidelity Equity Income/Cash Reserves (DMW)	A	Dividend	L	T					
71.	A	Dividend	J	T					
72.									
73. American Electric & Power (AEP)(X)	A	Dividend	L	T					
74. Duke Energy (DUK)(X)	A	Dividend	M	T					
75. Exelon (EXC)(X)	A	Dividend	L	T					
76. FirstEnergy (FE)(X)	A	Dividend	L	T					
77. Hercules Capital (HTGC)(X)	A	Dividend	L	T					
78. Kinder Morgan (KMI)(X)		None	K	T					
79. Royal Bank of Canada (RY)(X)	A	Dividend	M	T					
80. Davenport Money Market (X)	A	Int./Div.	K	T					
81.									
82. Fidelity Equity Income (MMW)	A	Dividend	J	T	Buy (add'l)	09/12/16	J		
83.									
84. Fidelity Equity Income (KLB)	A	Dividend	J	T	Buy (add'l)	05/27/16	J		
85.					Sold (part)	07/19/16	J	A	

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86. Vanguard Mutual Fund (401k)	A	Dividend			Buy	03/22/16	J		
87.					Sold	11/28/16	J	A	
88. Allegion (ALLE)	A	Dividend	J	T					
89. Anheuser-Busch Inbev (BUD)		None	J	T	Buy	12/06/16	J		
90. Apple (AAPL)	A	Dividend	J	T	Buy	03/24/16	J		
91. Boston Beer Company (SAM)		None	J	T	Buy	03/17/16	J		
92. Campbell Soup (CPB)	A	Dividend	J	T					
93. Clorox (CLX)	A	Dividend	J	T					
94. Coco Cola (KO)		None	J	T	Buy	12/06/16	J		
95. Conagra (CAG)	A	Dividend	K	T					
96. Cummins Inc. (CMI)	A	Dividend	J	T					
97. Dupont (DD)	A	Dividend	J	T					
98. Eaton (ETN)	A	Dividend	J	T					
99. Exxon Mobil (XOM)	A	Dividend	J	T					
100. Flowers Foods	A	Dividend			Buy	03/24/16	J		
101.					Sold	08/16/16	J	A	
102. Franklin Resources Inc.	A	Dividend			Buy	03/24/16	J		

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103.					Sold	11/29/16	J	A	
104. General Electric (GE)	A	Dividend	J	T					
105. Honeywell (HON)		None	J	T	Buy	12/07/16	J		
106. Ingersoll-Rand PLC (IR)	A	Dividend	J	T					
107. Kellogg (K)	A	Dividend	J	T					
108. Kimberly Clark (KMB)	A	Dividend	J	T					
109. Lamb Weston Holdings		None			Spinoff (from line 95)	11/17/16	J		
110.					Sold	12/09/16	J	A	
111. 3M Company (MMM)	A	Dividend	J	T					
112. McCormick & Co. (MKC)	A	Dividend	J	T					
113. McDonalds (MCD)	A	Dividend			Sold	03/03/16	J	B	
114. Nestle (NSRGY)	A	Dividend	J	T					
115. Pepsico (PEP)	A	Dividend	J	T					
116. Proctor & Gamble (PG)	A	Dividend	J	T					
117. Seimens (SIEGY)		None	J	T	Buy	12/07/16	J		
118. Snyders Lance (LNCE)	A	Dividend	J	T					
119. Sonoco (SON)	A	Dividend			Sold	04/14/16	J	B	

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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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. Unilever (UL)	A	Dividend	J	T					
121. United Technologies (UTX)	A	Dividend	J	T	Buy	03/03/16	J		
122. Fidelity Government Cash Reserves	A	Dividend	J	T	Buy	01/04/16	L		
123.									
124. Estate #1 (H)									
125. -First Citizens Bank	B	Interest	L	T					
126. -Duke Energy	C	Dividend	J	T	Distributed (part)	12/14/16	N		
127. -Cenovus Energy	A	Dividend	J	T					
128. -Encana Corp.	A	Dividend	J	T					
129. -Kinder Morgan	B	Dividend			Distributed	12/14/16	L		
130. -Hercules Capital	B	Dividend			Distributed	12/14/16	M		
131. -Royal Bank of Canada	B	Dividend	J	T	Distributed (part)	12/14/16	M		
132. -First Energy Corp.	A	Dividend			Distributed	12/14/16	M		
133. -Exelon Corp.	A	Dividend			Distributed	12/14/16	M		
134. -Davenport Money Market	A	Int./Div.			Distributed	12/14/16	K		
135. -Clinic Building Stock		None			Distributed	12/15/16	J		
136. -Real Estate, Littleton, NC (XY)									

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.)*

Part I

Line 2: The Turner W. Battle Scholarship Trust is an asset of Rocky Mount Academy. David M. Warren has no ownership interest in the funds of approximately \$500,000. The interest from the principal is used to fund educational scholarships for students attending Rocky Mount Academy in Rocky Mount, NC.

Part II:

Line 1: The Poyner Spruill LLP Retirement Plan (pension) is currently underfunded but is insured by the Pension Benefit Guaranty Corp. David M. Warren does not have information on the performance of the pension plan and has not made contributions or withdrawals. He has no liability for its performance. The entry regarding this asset was removed from Part VII (listed in 2014 on line 8) as it is correctly reported as a pension interest in Part II.

Part VII:

Line 1: The rental property in Rocky Mount was sold with a purchase money promissory note and deed of trust. The sum of \$10,000 was paid at closing with the balance being financed over time.

Voluntary Amendment to 2015 Report: Kansas City Life Insurance Company conducted an involuntary cash redemption of the shares of stock on December 22, 2015 for the sum of \$10,500 resulting in a gain of approximately \$500. I did not initiate the trade, so I was not aware of the transaction until I was preparing the 2016 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/ David M. Warren**

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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