

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

*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 5/15/2018
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 ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2017 to 12/31/2017
5b. ☐ Amended Report		
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. Director	Paramount Condominium Homeowners Association, Inc.
4. President	9 Shearwater Street Condominium Owners Association, Inc.
5. Manager	9 Shearwater LLC
6. Manager	Roofjumpers LLC
7. Manager	McLash LLC
8. Adjunct Professor	Norman A. Wiggins School of Law (Campbell University)
9. 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.
2.	

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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. 9/18/2017	Campbell University -Salary	\$2,500.00
2. 10/14/2017	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. 2017	Womble Bond Dickinson US LLP- Salary
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.	Kappa Alpha Order Educational Foundation	4/20-21/2017	Houston, TX	Board Meeting	transportation, lodging food
2.	Eastern Bankruptcy Institute, Inc.	6/1-3/2017	Myrtle Beach, SC	Seminar	transportation, lodging, food
3.	FRMT Ltd.	6/8-9/2017	Indianapolis, IN	Board Meeting	transportation, lodging, food
4.	Kappa Alpha Order	8/2-6/2018	St. Louis, MO	Board Meeting/Convention	transportation, lodging, food
5.	National Conference of Bankruptcy Judges	10/8-12/2017	Las Vegas, NV	Annual Meeting	lodging

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6.	N.C. Bar Association	11/30/2017-12/1/2107	Asheville, NC	NC Bar Association Annual Bankruptcy Institute	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.)*

	<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.	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)		None	O	W					
4. House, Wrightsville Beach, NC (1/3 interest)		None	N	W					
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			Sold	03/10/17	K	B	
9.	A	Dividend	K	T	Buy	09/26/17	K		
10. Anheuser-Busch Inbev (BUD DIRA	B	Dividend	K	T					
11. Boeing (BA) DIRA	B	Dividend	L	T					
12. Boston Beer Company (SAM)DIRA	A	Dividend			Sold	12/11/17	K	A	
13. Clorox (CLX) DIRA	B	Dividend	L	T					
14. Coca Cola (KO) DIRA	B	Dividend	K	T					
15. Conagra Foods (CAG) DIRA	A	Dividend	K	T					
16. Cummins (CMI) DIRA	B	Dividend	K	T					
17. Dieago (DEO) DIRA	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	

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	(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. Eaton Corp (ETN) DIRA	B	Dividend	K	T					
19. Emerson Electric (EMR) DIRA	A	Dividend	K	T					
20. Exxon Mobil (XOM) DIRA	B	Dividend	K	T					
21. General Electric (GE) DIRA	A	Dividend	K	T					
22. General Mills (GIS) DIRA	A	Dividend	K	T					
23. Hain Celestial Group (HAIN) DIRA		None			Sold	09/05/17	K	A	
24. Heineken (HEINY) DIRA	A	Dividend	K	T					
25. Hershey Company DIRA	A	Dividend	K	T					
26. Honeywell (HON) DIRA	A	Dividend	K	T					
27. Johnson & Johnson (JNJ) DIRA	B	Dividend	K	T					
28. Johnson Controls (JCI) DIRA	A	Dividend	K	T	Buy	02/22/17	K		
29. Kellogg (K) DIRA	B	Dividend	K	T					
30. Kimberly-Clark (KMB) DIRA	A	Dividend	K	T					
31. Kraft Heinz Company (KHC) DIRA	B	Dividend	K	T					
32. Leggett & Platt (LEG) DIRA	A	Dividend	K	T	Buy	09/18/17	K		
33. Martin Marietta Materials (MLM) DIRA	A	Dividend	K	T	Buy	09/18/17	K		
34. McCormick & Co. (MCK) DIRA	B	Dividend	L	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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35. Monsanto Company (MON) DIRA	A	Dividend			Sold	09/07/17	K	C	
36. 3 M (MMM) DIRA	B	Dividend	K	T					
37. Nestle (NSRGY) DIRA	B	Dividend	K	T					
38. Pepsico (PEP) DIRA	B	Dividend	L	T					
39. Proctor & Gamble (PG) DIRA	B	Dividend	K	T					
40. Royal Dutch Shell (RDSB) DIRA	B	Dividend	K	T					
41. Smucker (SJM) DIRA	A	Dividend	K	T					
42. Snyders-Lance (LNCE) DIRA	A	Dividend			Sold	08/11/17	K	D	
43. Unilever PLC (UN) DIRA	A	Dividend	K	T					
44. United Technologies (UTX) DIRA	B	Dividend	L	T					
45. Verizon (VZ) DIRA	B	Dividend	K	T	Buy	07/07/17	K		
46. Fidelity Cash Reserves DIRA	A	Dividend	L	T					
47.									
48. Boston Beer Company (SAM) DAmeri	A	Dividend			Buy	04/12/17	J		
49.					Sold	04/28/17	J	B	
50. First Citizens Bank A DAmeri	A	Dividend	K	T					
51. First Citizens Bank B Preferred DAmeri	A	Dividend	K	T					

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52. General Mills (GIS) DAmeri	A	Dividend	J	T	Buy	08/17/17	J		
53. Kellogg (K) DAmeri	A	Dividend	J	T	Buy	08/17/17	J		
54. Kinder Morgan (KMI) BenIRA	A	Dividend			Sold	01/05/17	K	B	
55. Hercules Capital (HTGC) DAmeri	A	Dividend			Sold	01/09/17	K	A	
56. Kinder Morgan (KMI) DAmeri	A	Dividend			Sold	01/05/17	K	A	
57. Royal Bank of Canada (RY) DAmeri	A	Dividend			Sold	01/04/17	J	A	
58. Snyders Lance (LNCE) DAmeri	A	Dividend			Buy	04/24/17	J		
59.					Sold	08/15/17	J	B	
60. Amerprise Insured Money Market DAmeri	A	Interest	J	T					
61.									
62. Fidelity Equity Income/Cash Reserves (DMW/MMW)	A	Dividend			Merged (with line 79)	01/02/17	J		
63.									
64. American Electric & Power (AEP) BenIRA	C	Dividend	M	T					
65. Anheuser Busch Inbev (BUD) BenIRA	C	Dividend	L	T	Buy	02/10/17	L		
66. Coca Cola (KO) BenIRA	C	Dividend	L	T	Buy	02/10/17	L		
67. Duke Energy (DUK) BenIRA	B	Dividend			Sold	03/09/17	L	A	
68. Exelon (EXC) BenIRA	C	Dividend	L	T					

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69. FirstEnergy (FE) BenIRA	B	Dividend	L	T					
70. General Mills (GIS) BenIRA	B	Dividend	L	T	Buy	03/28/17	L		
71. Hercules Capital (HTGC) BenIRA	A	Dividend			Sold	02/07/17	M	A	
72. Kellogg (K) BenIRA	A	Dividend	K	T	Buy	02/23/17	K		
73. Kinder Morgan (KMI) BenIRA	A	Dividend	J	T					
74. Royal Bank of Canada (RY) BenIRA	A	Dividend			Sold	02/07/17	M	E	
75. Smucker (SJM) BenIRA	B	Dividend	L	T	Buy	03/28/17	L		
76. Davenport Money Market BenIRA	A	Int./Div.			Sold	01/31/17	K	B	
77. Fidelity Government Cash Reserves BenIRA	A	Dividend	L	T	Buy	02/01/17	K		
78.									
79. Fidelity Equity Income (MMW)	A	Dividend	J	T					
80.									
81. Fidelity Equity Income (KLB)	A	Dividend	J	T					
82.									
83. Vanguard Mutual Fund (401k) merge with Fidelity 2/2018	A	Dividend	J	T					
84.									
85. Allegion (ALLE) KLBIRA	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 \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86. Anheuser-Busch Inbev (BUD) KLBIRA	A	Dividend	J	T					
87. Apple (AAPL) KLBIRA	A	Dividend	J	T					
88. Boston Beer Company (SAM) KLBIRA	A	Dividend			Sold	12/11/17	J	A	
89. Campbell Soup (CPB) KLBIRA	A	Dividend	J	T					
90. Clorox (CLX) KLBIRA	A	Dividend	J	T					
91. Coco Cola (KO) KLBIRA	A	Dividend	J	T					
92. Conagra (CAG) KLBIRA	A	Dividend	K	T					
93. Cummins Inc. (CMI) KLBIRA	A	Dividend	J	T					
94. DowDupont(DWDP) KLBIRA	A	Dividend	J	T					
95. Eaton (ETN) KLBIRA	A	Dividend	J	T					
96. Exxon Mobil (XOM) KLBIRA	A	Dividend	J	T					
97. General Electric (GE) KLBIRA	A	Dividend	J	T					
98. Honeywell (HON) KLBIRA	A	Dividend	J	T					
99. Ingersoll-Rand PLC (IR) KLBIRA	A	Dividend	J	T					
100. Kellogg (K) KLBIRA	A	Dividend	J	T					
101. Kimberly Clark (KMB) KLBIRA	A	Dividend	J	T					
102. 3M Company (MMM) KLBIRA	A	Dividend	J	T					

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103. McCormick & Co. (MKC) KLBIRA	A	Dividend	J	T					
104. Nestle (NSRGY) KLBIRA	A	Dividend	J	T					
105. Pepsico (PEP) KLBIRA	A	Dividend	J	T					
106. Proctor & Gamble (PG) KLBIRA	A	Dividend	J	T					
107. Seimens (SIEGY) KLBIRA	A	Dividend	J	T					
108. Snyders Lance (LNCE) KLBIRA	A	Dividend			Sold	08/11/17	J	C	
109. Smucker (SJM) KLBIRA	A	Dividend	J	T	Buy	10/10/17	J		
110. Sonoco (SON) KLBIRA	A	Dividend	J	T	Buy	10/10/17	J		
111. Unilever (UL) KLBIRA	A	Dividend	J	T					
112. United Technologies (UTX) KLBIRA	A	Dividend	J	T					
113. Fidelity Government Cash Reserves KLBIRA	A	Dividend	J	T					
114.									
115. Estate #1 (H)									
116. -Duke Energy	A	Dividend			Distributed	01/26/17	J		
117.					Sold	03/15/17	J	B	
118. -Cenovus Energy	A	Dividend			Distributed	01/26/17	J		
119. -Encana Corp.	A	Dividend			Distributed	01/26/17	J		

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.					Sold	04/05/17	J	A	
121. - Royal Bank of Canada	B	Dividend			Distributed	01/31/17	J		
122.					Sold	02/09/17	J	A	
123. -Clinic Building Stock	A	Dividend			Closed	01/06/17	J		
124.									

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.

Line 9: The decedent's estate was closed December 13, 2017, and David M. Warren no longer holds this position.

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.

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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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