

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 06/12/2015
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 01/01/2014 to 12/31/2014
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.	Trustee	Trustee #1
2.	Executor	Estate #1
3.		
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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2014

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.	North Carolina Bar Association	11/07/2014 - 11/08/2014	Asheville, North Carolina	Attend State Bankruptcy Seminar	Meals, hotel, and transportation.
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2.	South Carolina Law Association	05/02/2014 - 05/03/2014	Asheville, North Carolina	Attend State Bankruptcy Seminar	Meals, hotel, and transportation.
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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. ClearBridge Sp. Inv. Tr. Class C, f/k/a LM Cap Mgmt Leading Co Tr *	C	Dividend	K	T					
4. American Funds New Perspective Mutual Fund	D	Dividend	M	T					
5. American Funds Washington Mutual Funds	D	Dividend	M	T					
6. [REDACTED]	F	Distribution	K	W					
7. American Funds Washington Mutual Funds	A	Dividend			Sold	07/17/14	K	C	
8. American Funds. Templeton Foreign Mutual Fund	A	Dividend			Sold	07/17/14	K	C	
9. RBC Money Mkt Sweep Account	A	Interest	K	T	Distributed (part)	07/17/14	K		
10.					Distributed (part)	07/28/14	J		
11. RBC Money Market Sweep Accounts	A	Interest	J	T					
12. American Funds. New Perspective Mutual Fund	B	Dividend			Sold (part)	01/04/14	J	A	
13.					Sold (part)	01/29/14	K	C	
14.					Sold	06/10/14	K	D	
15. RBC Money Mkt Sweep Acct.	A	Interest	K	T	Distributed (part)	01/29/14	K		
16.					Buy	06/10/14	K		
17.					Distributed (part)	07/28/14	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)

18. Belmont Federal Savings & Loan Account	A	Interest	L	T					
19. American Funds Templeton Dev Mkt Foreign Mutual Fund	B	Dividend	J	T					
20. American Funds Washington Mutual Funds	A	Dividend	J	T					
21. Growth Fund American Mutual Fund	B	Dividend	K	T					
22. Black Rock US Opp Class C	B	Dividend	K	T					
23. ClearBridge Spec. Inv. Tr. f/k/a Legg Mason Special Invest. Trust (Y)*									
24. American Funds New Perspective Mutual Fund	A	Dividend	J	T					
25. Legg Mason Value Trust Mutual Fund (Y)*									
26. ClearBridge Sp. Inv. Tr. f/k/a Legg Mason Cap Mgmt Sp Inv Tr	A	Dividend			Sold	06/10/14	J	A	
27. Royce Total Return Fund, a/k/a/ Royce FD	D	Dividend	L	T					
28. RBC Money Market Savings Acct	A	Interest	J	T					
29. Europac Growth Fund	A	Dividend	J	T					
30. Invesco Am Fr Fund Class A	C	Dividend	K	T					
31. Wells Fargo f/k/a Wachovia Bank Various Accounts	A	Interest	K	T					
32. Estate 1:									
33. Belmont Federal Various Accounts	A	Interest	L	T					
34. Spectra Energy	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35. Asset Group #1: (Y)*									
36. Rental Property, Charlotte, NC *	C	Rent			Donated				
37. TRUST 1:									
38. Residential Lot #1, Gaston County, NC		None	M	W					
39. Residential Lot #2, Gaston County, NC		None	K	W					
40. Residential Lot #3, Gaston County, NC		None	K	W					
41. Residential Lot #4, Gaston County, NC		None	J	W					
42. Residential Lot #5, Gaston County, NC		None	J	W					
43. Residential Lot #6, Gaston County, NC		None	J	W					
44. Residential Lot #7 (1/2 Interest) Gaston County, NC		None	K	W					
45. Residential Lot #8 (1/2 Interest) Gaston County, NC		None	J	W					
46. Residential Lot #9 (1/2 Interest) Gaston County, NC		None	J	W					
47. Residential Lot #10 (1/2 Interest) Gaston County, NC		None	J	W					
48. Residential Lot #11 (1/2 Interest) Gaston County, NC		None	J	W					
49. Residential Lot #12 (1/2 Interest) Gaston County, NC		None	J	W					
50. Belmont Federal Various Accounts	A	Interest	L	T					
51. Wachovia Various Accounts (Y)*									

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52. RBC Money Market Sweep Acct	A	Interest	M	T	Buy	10/25/14	J		
53.					Buy	11/24/14	K		
54.					Buy	10/28/14	K		
55. Invesco AIM Investments European Growth Fund Class A	B	Dividend	K	T	Sold (part)	10/20/14	J	A	
56.					Sold (part)	11/24/14	J	A	
57. American Funds Capital World Bond Fund Class A	C	Dividend	M	T	Sold (part)	10/20/14	J	A	
58.					Sold (part)	10/28/14	J	A	
59. American Funds Europacific Growth Fund Class A	A	Dividend	K	T	Sold (part)	10/20/14	J	A	
60.					Sold (part)	10/28/14	J	A	
61. American Funds Growth Fund of America Class A	D	Dividend	M	T	Sold (part)	10/20/14	J	A	
62.					Sold (part)	10/28/14	J	A	
63. American Funds Investment Co of America Class A	E	Dividend	M	T	Sold (part)	10/20/14	J	A	
64.					Sold (part)	10/28/14	J	A	
65. Capital World Bond Fund * (Y)									
66. LaSalle Bank CD	B	Interest			Redeemed	11/24/14	K	A	
67. Goldman Sachs Bank CD	A	Interest	K	T					
68. Union Bank NA CD	B	Interest	K	T					

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

Part VII, #23 - Correct error on 2013 Annual Report, #17, Clearbridge Spec. Inv. Trust is deleted as being a duplicate entry of #3 ('13 Annual Report.) Funds were reorganized and renamed causing confusion.

Part VII, #25 - Correct error on 2013 Annual Report, #25, Legg Mason Value Trust is deleted as being a duplicate entry of #19 ('13 Annual Report.)

Part VII - #35 - #36, Asst Gp 1, Rental property is deleted as asset has been transferred (donated) to a family trust (which is not subject to reporting.)

Part VII - #51, Wachovia Various Accts: Correct error. Amended Rpt indicates these were opened 12/19/13. These accounts were closed, not opened.

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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