

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) Humrickhouse, Stephani W.	2. Court or Organization Bankruptcy Court - Eastern District of North Carolina	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Court (FT)	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 Second Floor 300 Fayetteville Street Raleigh, NC 27601		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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. 2005	Compensation Agreement with Nicholls & Crampton, P.A. (former law firm compensation agreement for work performed prior to my taking the bench)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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. 2014	Nicholls & Crampton, P.A. (1099)	\$9,996.21
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. 2014	FMI Corp W-2
2. 2014	FMI Corp 1120S K-1
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. Eastern Bankruptcy Institute	5/29/2014 - 5/30/2015	North Myrtle Beach, SC	Annual Bankruptcy Seminar	Lodging
2. National Conference of Bankruptcy Judges	10/8/2014 - 10/10/2014	Chicago, IL	Annual Bankruptcy Conference/Seminar	Lodging
3. North Carolina Bar Association	11/7/2014 - 11/8/2014	Asheville, NC	Annual Bankruptcy Institute	Lodging, meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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.	FMI Corp.	Stock Purchase	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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. Am. Equity Inv. Life Ins. Co. Flex. Prem. Deferred Ann	A	Dividend	M	T					
2. Fidelity Capital Appreciation Fund	A	Dividend	K	T					
3. FMI 401K	A	Dividend	P1	T					
4. --Black Rock Equity	A	Dividend	M	T	Sold (part)	09/30/14	J		
5. --Columbia Seligman Communication and Info Fund	A	Dividend			Sold	09/30/14	M	B	
6. --Eagle Small Cap Growth A	A	Dividend	K	T	Sold (part)	09/30/14	J		
7. --Hartford Int'l Opp R5	A	Dividend	K	T	Sold (part)	09/30/14	J		
8. --Mainstay Large Cap Growth Fund	A	Dividend	M	T	Sold (part)	09/30/14	J	A	
9. --MFS Utilities/A	A	Dividend			Sold	09/30/14	J		
10. --MFS International Value R4	A	Dividend	K	T	Buy	09/30/14	K		
11. --MFS Utilities/R4	A	Dividend	K	T	Buy	09/30/14	K		
12. --Metropolitan West Total Return Bond	A	Dividend	M	T	Buy	12/31/14	L		
13. --PIMCO Total Return/ADM (transferred to Metropolitan West Total Return	A	Dividend			Sold (part)	09/30/14	L		
14.					Sold	12/31/14	L		
15. --Principal Real Estate Securities Inst.	A	Dividend	M	T	Sold (part)	09/30/14	K		
16. --Prudential Jennison Health Sciences	A	Dividend	M	T	Sold (part)	09/30/14	K	D	
17. --Thornburg International Value R/3 Fund	A	Dividend			Sold	09/30/14	K		

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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. --Trowe Price Science and Tech/Adv	A	Dividend	M	T	Buy	09/30/14	M		
19. --Wells Fargo Stable Return (cash acct)	A	Dividend	N	T	Buy	12/31/14	L		
20. --Wells Fargo Stable Return Fund N/25	A	Distribution	N	T	Buy	09/30/14	N		
21. --Wells Fargo Stable Return Fund N/60	A	Dividend			Sold	09/30/14	N	D	
22. Etrade	B	Dividend	M	T					
23. --1 Share S&P Midcap ETF (IJH)	A	Dividend	K	T					
24. --1 Share S&P Small Cap ETF (IJR)	A	Dividend	K	T					
25. --1 Share MSC1Mexico Capt ETF (EWW)	A	Dividend			Sold	07/07/14	K		
26. --DIAX (mutual fund) (previously named DPD)	A	Dividend	J	T					
27. --Ford Motor (common)	A	Dividend	J	T					
28. --1 Shares US Energy ETF (IYE)	A	Dividend	J	T	Sold (part)	12/01/14	J		
29. Vanguard Brokerage Acct	A	Dividend	L	T					
30. --Caterpillar, Inc. (common)	A	Dividend			Sold (part)	06/10/14	J	D	
31.					Sold	06/23/14	J	C	
32. --Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T					
33. --Ford Motor Co. (common)	A	Dividend			Sold (part)	04/17/14	J	C	
34.					Sold	06/10/14	J	B	

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
35. --Vanguard Short Term Corp Bond Fund VCSH	A	Dividend	K	T					
36. --Vanguard Short Term Tax Exempt VWSTX	C	Dividend	J	T					
37. --Vanguard Prime Money Mkt Fund	A	Dividend	J	T					
38. --VMMXX (money market acct)(reclassified into Vanguard Prime Money Mkt	A	Dividend			Sold	12/22/14	J		
39. Fidelity Municipal Money Mkt	A	Interest	J	T					
40. Fisher/Morgan Stanley Man. Inv. Acct. (no control)	E	Dividend	O	T					
41. --FBG (ETF)	A	Dividend			Sold	08/11/14	K	D	
42. --FBGX	A	Dividend	J	T	Buy	08/11/14	K		
43. --FEEU	A	Dividend	J	T					
44. --FIGY	A	Dividend	J	T					
45. --HYG (ETF)	A	Dividend	K	T					
46. --IXN (ETF)	A	Dividend	K	T					
47. --JP Morgan Municipal Fund (now called Morgan Stanley Money Market)	A	Interest	J	T					
48. --LQD (ETF)	A	Dividend	M	T	Buy	03/12/14	J		
49. --MBB (ETF)	A	Dividend	K	T					
50. --QQQ (ETF)	A	Dividend	K	T	Sold (part)	03/12/14	J		
51.					Sold (part)	08/11/14	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)

52. --SCPB (ETF)	A	Dividend	K	T					
53. --TFI (ETF)	A	Dividend	L	T					
54. --XLG (ETF)	A	Dividend	K	T	Sold (part)	03/12/14	J		
55. --XLF (ETF)	A	Dividend	L	T					
56. --XLV (ETF)	A	Dividend	K	T	Buy (add'l)	08/11/14	J		
57. --XLY (ETF)	A	Dividend	K	T					
58. --VEA	A	Dividend	K	T	Buy (add'l)	09/17/14	J		
59. --VGK	A	Dividend	K	T					
60. --VIS	A	Dividend	J	T	Sold (part)	09/17/14	J	A	
61. Scott & Stringfellow IRA -Managed Account	D	Dividend	O	T					
62. --ABBV	A	Dividend			Sold	02/24/14	J	C	
63. --ABT	A	Dividend			Sold	02/24/14	J	B	
64. --ACN	A	Dividend			Sold	02/24/14	K	B	
65. --BAX	A	Dividend			Sold	02/24/14	K	A	
66. --BAEIX (mutual fund)	A	Dividend	O	T	Buy	02/25/14	N		
67.					Buy	04/07/14	K		
68.					Buy	05/06/14	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
69.					Buy	06/02/14	K		
70.					Buy	07/01/14	K		
71.					Buy	08/01/14	K		
72.					Buy	09/02/14	K		
73. --BLK	A	Dividend			Sold	01/16/14	J	C	
74. --CVX	A	Dividend			Sold	02/24/14	K		
75. --ESV	A	Dividend			Buy	01/24/14	J		
76.					Sold	02/24/14	K		
77. --Federated Treasury Fund (cash acct)	A	Dividend	J	T					
78. --GIS	A	Dividend			Sold	02/24/14	K	B	
79. --INTC	A	Dividend			Sold (part)	01/15/14	J	A	
80.					Sold	02/24/14	J	B	
81. --KO	A	Dividend			Sold	02/24/14	J		
82. --KMI	A	Dividend			Sold	02/24/14	K		
83. --KMR	A	Dividend			Sold (part)	02/24/14	J		
84.					Sold	02/25/14	J		
85. --MAT	A	Dividend			Buy	01/03/14	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)

86.					Buy	01/10/14	J		
87.					Buy	01/13/14	J		
88.					Buy	01/17/14	J		
89.					Buy	01/23/14	J		
90.					Buy	01/31/14	J		
91.					Sold	02/24/14	K		
92. --MCD	A	Dividend			Sold	02/24/14	K	A	
93. --MET	A	Dividend			Sold	02/24/14	K	A	
94. --MSFT	A	Dividend			Sold	02/24/14	J	C	
95. --MXIM	A	Dividend			Sold	02/24/14	K	B	
96. --NVS	A	Dividend			Sold	02/24/14	K	C	
97. --OMC	A	Dividend			Sold (part)	01/02/14	J	A	
98.					Sold (part)	02/11/14	J	B	
99.					Sold	02/24/14	J	C	
100. --OXY	A	Dividend			Sold	02/24/14	K	C	
101. --PFE	A	Dividend			Sold	02/24/14	K	C	
102. --PEP	A	Dividend			Sold	02/24/14	K	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
103. --PM	A	Dividend			Buy	01/30/14	J		
104.					Sold	02/14/14	J		
105. --PSO	A	Dividend			Sold	02/24/14	J	A	
106. --QCOM	A	Dividend			Sold	02/24/14	K	A	
107. --RC1	A	Dividend			Sold	02/24/14	K		
108. --SE	A	Dividend			Sold	02/24/14	K	A	
109. --TGT	A	Dividend			Sold	02/10/14	K		
110. --TRV	A	Dividend			Sold	02/10/14	K	A	
111. --TWC	A	Dividend			Sold	02/10/14	J	C	
112. --UL	A	Dividend			Sold	02/24/14	K	A	
113. --UPS	A	Dividend			Sold	02/10/14	K	B	
114. --WLP	A	Dividend			Sold	02/24/14	K	C	
115. Merrill Lynch Wealth Management - CMA	B	Int./Div.	N	T					
116. -AAPL ARN (MLGYK)	A	Dividend			Sold	05/23/14	K	C	
117. -ALLEGHENY TECH (ATI)	A	Dividend	J	T					
118. -AmbevSA (ABEV) (Merger with ABV 11/21/13)	A	Dividend			Sold	05/23/14	K	C	
119. -ALLSTATE (ALLPRA) (originally (ALLSL))	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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. --BLACKROCK RE (BCX)	B	Dividend	K	T					
121. --Clearbridge (CEM)	A	Dividend	J	T					
122. --CITIGROUP (CITGL) (changed symbol to (CPRC))	A	Dividend			Sold	02/10/14	J	A	
123. --Cohen and Steers (RQI)	A	Dividend	J	T					
124. --Eli Lilly (LLY)	A	Dividend	J	T					
125. --FCT	A	Dividend	J	T	Buy	04/28/14	J		
126. --FCX	A	Dividend			Buy	07/08/14	K		
127.					Sold	12/04/14	J		
128. --FIA Card Services (cash)	A	Int./Div.	K	T					
129. --First Niagara (FNFG)	A	Dividend	J	T					
130. --GSK	A	Dividend			Buy	02/13/14	K		
131.					Sold	09/17/14	J		
132. --HAL	A	Dividend	J	T	Buy	03/03/14	J		
133.					Buy	11/24/14	J		
134. --HOLX	A	Dividend	J	T	Buy	02/26/14	J		
135. --INVESCO (VVR)	A	Dividend			Sold	04/23/14	J		
136. --JP Morgan (JPMPRD)	A	Dividend			Sold	02/24/14	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
137. --MASCO (MAS)	A	Dividend	J	T					
138. --Merck (MRK)	A	Dividend	K	T					
139. --Morgan Stanley (EDD)	B	Dividend			Buy	03/03/14	J		
140.					Sold	06/27/14	J		
141. --Nuveen Ins. (NEA)	B	Dividend	J	T					
142. --Orexigen Therap (OREX)	A	Dividend			Sold	02/24/14	J	B	
143.					Buy	04/28/14	J		
144.					Sold	06/23/14	J	B	
145. --OXY	A	Dividend	J	T	Buy	12/04/14	J		
146. --Partnerre Ltd (PREPRF)	A	Dividend	J	T					
147. --PBR	A	Dividend			Buy	09/17/14	J		
148.					Sold	12/04/14	J		
149. --Tortoise Energy (NDP)	A	Dividend	J	T					
150. --WOOF	A	Dividend	K	T	Buy	09/17/14	J		
151. Merrill Lynch Wealth Management - IRA	C	Int./Div.	N	T					
152. --Alger Spectra (ASPZX)	B	Dividend	K	T					
153. --BLACK ROCK CREDIT (BCX)	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
154. -BLACK ROCK CREDIT (BTZ)	A	Dividend	J	T					
155. -BP PLC ADR (BP)	A	Dividend	J	T					
156. -Clearbridge Energy (CEM)	A	Dividend	J	T					
157. -Cohen and Steers (RQI)	A	Dividend	J	T					
158. -CRC	A	Dividend	J	T	Buy	06/27/14	J		
159. -FIA Card Svc Cash (11AXX)	A	Int./Div.	J	T					
160. -First Eagle (SG11X)	B	Dividend	K	T					
161. -Ford Motor (F)	A	Dividend			Sold	04/23/14	J	B	
162. -INVESCO (VVR)	A	Dividend	K	T					
163. -IVY ASSET (IVAEX)	A	Dividend	K	T					
164. -MERCK (MRK)	A	Dividend	K	T					
165. -Morgan Stanley Emerging (EDD)	A	Dividend	K	T					
166. -Oppenheimer Dev (ODVYX)	A	Dividend	J	T					
167. -Oppenheimer Int'l (OXIGYX)	A	Dividend	K	T					
168. -OREX	A	Dividend			Buy	04/28/14	J		
169.					Sold	06/25/14	J		
170. -OXY	A	Dividend	J	T	Buy	07/02/14	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
171. -Tortoise Energy (NDP)	A	Dividend	J	T					
172. Edwards Jones Roth IRA	A	Dividend	K	T					
173. -Conoco Phillips	A	Dividend	J	T					
174. -Johnson & Johnson	A	Dividend	J	T					
175. -McDonalds	A	Dividend	J	T					
176. -Phillip Morris	A	Dividend	J	T					
177. Edward Jones Portfolio	A	Int./Div.	M	T					
178. -American Funds TAIAX	A	Dividend	K	T					
179. -Goldman Sachs CD	A	Interest	J	T					
180. -NC Med Care Comm Health Bond	A	Interest	K	T					
181. -Prudential Prem. Ref. Contract	A	Dividend	L	T					
182. -Raleigh Durham Airport Bond	A	Interest	K	T					
183. -Lincoln Life Ins.	A	Dividend	L	T					
184. Durham Arvin Partnership		None	K	W					
185. FMI Corp. Stock	G	Distribution	N	U					
186. GP Land, LLC	A	Int./Div.	M	U					
187. Nationwide Insurance		None	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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)
188. North State Bank Acct	A	Interest	J	T					
189. Wells Fargo Bank Account	A	Interest	J	T					
190. Equitable Life Insurance (cash value)	A	Dividend	K	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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

Part VII - Investments and Trusts

Line 111 - 2013 Report erroneously reported TWC "sold" when it was in fact "sold in part"

Line 120 - Blackrock RE erroneously referred to as "BCF" on 2013 Report

Line 167 - Oppenheimer Int'l symbol erroneously reported as OIGYZ on 2013 Report

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Humrickhouse, Stephani W.

Date of Report

05/14/2015

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/ Stephani W. Humrickhouse

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