

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) Whitney, Frank D.	2. Court or Organization District Court - WDNC	3. Date of Report 05/01/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	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 Charles R. Jonas Federal Building & US Courthouse 401 West Trade Street, Room 195 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. Power of Attorney	Person #1
2. Member	Whitney Properties LLC
3. Member	Whitney Assets LLC
4. Board of Directors	Festival in the Park, Inc. (IRC section 501(c)(3) organization)
5. Advisory Member	North Carolina State Bar LAMP Committee
6. Council Member	North Carolina Bar Association (Government & Public Sector Council)
7. Board of Directors	May 20th Society (IRC Section 501(c)(3) organization)
8. Board of Visitors	Charlotte Country Day School (IRC section 501(c)(3) organization)
9. Board of Visitors	Charlotte Bridge Home (IRC section 501(c)(3) organization)

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.	

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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. 2017	Charlotte School of Law	\$10,000.00
2. 2017	UNC School of Law (Chapel Hill, NC)	\$7,999.93
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	Kitchen & Bath Retail Group of NC, LLC - salary
2. 2017	South End Kitchen Design Studio, 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. North Carolina Bar Association	4/7/17 to 4/8/17, 6/22/17 to 6/25/17, 12/7/17 to 12/8/17	Winston-Salem, NC; Asheville, NC; Cary, NC	Board, Council and Annual Meetings	Meals
2. North Carolina State Bar	10/26/17	Raleigh, NC	LAMP Committee Meeting	Meals
3. Duke Law School, Center on Law, Ethics, and National Security	2/24/17 to 2/25/17	Durham, NC	Attendee	Meals
4. University of North Carolina School of Law	2/9/17 to 2/10/17, 5/5/17 to 5/6/17	Chapel Hill, NC	Speaker at CLE; Board of Visitors Meeting	Meals
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.	David and Ann Beam	Weekend at Cloisters, Sea Island, GA (lodging, some meals, and sporting activities)	\$1,600.00
2.	David and Ann Beam	Weekend at Riverbend Lodge Saratoga, WY (lodging, some meals and sporting activities)	\$1,200.00
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.	Caliber Home Loans	Loan on Rental Property #1, Davidson, NC (Part VII, Linee 1)	M
2.	US Department of Education - William D. Ford Direct Loan Program (daughters' student loans)	Student Loans	J
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. Rental Property #1, Davidson, NC	D	Rent	N	W					
2. Whitney Properties LLC:									
3. - Rental Property #1, Sunset Beach, NC	D	Rent	N	W					
4. - Rental Property #2, Sunset Beach, NC	D	Rent	N	W					
5. - Bank of America business accounts (Whitney Prop LLC)	A	Interest	J	T					
6. Whitney Assets LLC		None	J	W					
7. Carolina Panthers Permanent Seat License		None	J	W					
8. Co-author book, Lexis-Nexis, Newark, NJ (no inc since 2002)		None	J	W					
9. Bank of America savings and checking accounts [REDACTED]	A	Interest	J	T					
10. USAA Federal Savings Bank checking accounts [REDACTED]	A	Interest	J	T					
11. Bank of America Common Stock	A	Dividend	K	T					
12. BB&T Federated Prime Fund accounts	A	Interest	J	T					
13. Standard & Poors DEP RCPTS (SPY)	D	Dividend	L	T	Sold	11/30/17	M	F	Transfer w/in spouse IRAs
14. Paragon Bank checking account	A	Interest	J	T					
15. Rydex Guggenheim S&P 500 Equal Weighted Index	A	Dividend	K	T	Buy	11/30/17	M		Transfer w/in spouse IRAs
16.									
17.									

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.)*

Although I am a principle in Whitney Assets LLC (Part VII, Line 6), there are no reportable assests in the LLC.

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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/ **Frank D. Whitney**

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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