AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Whitney, Frank D.	District Court - WDNC	06/12/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	1/1/2023 **to** 12/31/2023
7. Chambers or Office Address		
Charles R. Jonas Federal Building and United States Courthouse 401 West Trade Street, Room 6300 Charlotte, North Carolina 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1. Power of Attorney	Person # 1
2. Trustee	Trust # 2
3. Trustee	Trust #3
4. Member	Whitney Assets LLC
5. Board of Directors	Festival in the Park, Inc. (IRC section 501(c)(3) organization)
6. Advisory Member	North Carolina State Bar LAMP Committee
7. Council Member	North Carolina Bar Association (Gov't & Public Sector Council Member, Annual Meeting Commr, Military and Vet Affairs Committee)
8. Board of Directors	May 20th Society (IRC section 501(c)(3) organization)
9. Board of Visitors	Charlotte Country Day School (IRC section 501(c)(3) organization)
10. Board of Visitors	Charlotte Bridge Home (IRC section 501(c)(3) organization)
11. Advisory Board	High Point University School of Law

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1.	
2.	
3.	

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2002	Royalties - co-author of book published by Lexis Law Publications	$0.00
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
1.	2023	Impact Fine Design - independent contractor kitchen designer
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	US Department of Education - Student Loan Program	Student loans	K
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Whitney, Frank D.	06/12/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Whitney Assets LLC:									
2.	- Rental Property #1 Holden Beach NC	E	Rent	O	R					
3.	- Rental Property # 2, Holden Beach, NC (vacant lot)		None	M	R					
4.	Carolina Panthers Permanent Seat License		None	K	W					
5.	Co-author book, Lexis Law Publishing (no income since 2002),		None	J	W					
6.	Bank of America savings and checking accounts	A	Interest	J	T					
7.	USAA Bank checking & savings accounts	A	Interest	J	T					
8.	Janney Advantage Insured Sweep (formally BB&T Fed Prime)	A	Interest	K	T					
9.	Townebank checking & savings (formally known as Paragon Bank)	A	Interest	J	T					
10.	Invesco S&P 500 Equal Weighted Index (held through Janney)	A	Dividend	L	T					
11.	Ishares Russell 2000 (held through Janney)	B	Dividend	J	T	Buy	03/27/23	J		
12.	Trust # 2, Charlotte, NC:									
13.	- Merrill Lynch CMA Cash account including BLF FedFund ISA Toyota Fin	D	Interest	L	T	Distributed (part)	01/31/23	J		
14.	- Carillon Scout Mid Cap Fund CL C0	A	Dividend	K	T					
15.	- Columbia Select Large Cap Value Fund CL C	A	Dividend	K	T					
16.	- Blackrock Equity Dividend FD C	A	Dividend	K	T					
17.	- MFS Value FD CL C	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Whitney, Frank D.	06/12/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. - Invesco S & P	B	Int./Div.	K	T	Buy	10/12/23	K		
19. - Vanguard Dividend	B	Int./Div.	K	T	Buy	10/12/23	K		
20. - VanEck Morningstar	B	Int./Div.	K	T	Buy	10/12/23	K		
21. - BlackRock Liquidity Funds FedFund Money Market	B	Int./Div.	K	T	Buy	10/12/23	K		
22. - Hartford Core Equity Fund CL C	A	Dividend	K	T					
23. Trust #3, Charlotte, NC:									
24. - Merrill Lynch CMA Cash account including BLF FedFund and ISA Toyota	D	Interest	L	T	Distributed (part)	01/31/23	J		
25. - Carillon Scout Mid Cap Fund CL C	A	Dividend	K	T					
26. - Columbia Select Large Cap Value Fund CL C	A	Dividend	K	T					
27. - Blackrock Equity Dividend FD C	A	Dividend	K	T					
28. - MFS Value FD CL C	A	Dividend	K	T					
29. - Invesco S & P	B	Int./Div.	K	T	Buy	10/12/23	K		
30. - Vanguard Dividend	B	Int./Div.	K	T	Buy	10/12/23	K		
31. - VanEck Mornindside	B	Int./Div.	K	T	Buy	10/12/23	K		
32. - BlackRock Liquidity Funds FedFund Money Market	A	Int./Div.	K	T	Buy	10/12/23	K		
33. - Hartford Core Equity Fund CL C	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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

Because Estate #1 and Trust #1 were distributed and closed in 2021, they are not listed on this report.

Rental Poperty #1, Holden Beach, NC (Part VII Line 5), was purchased on 7/31/19 for $619,000.

Rental Poperty #2, Holden Beach, NC (Part VII Line 6), was purchased on 12/14/20 for $225,000.

Name of Person Reporting	Date of Report
Whitney, Frank D.	06/12/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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