

Message from Governor's Office

Date Received: <u>1/15-13</u>		Received By: <u>OK</u>	
Board	Seat	Name	Status
State Ethics Commission	4th District	James I. Warren	appt
Public Charter School District	Governor's Appointee	Donald McLaurin	reappt
Consumer Affairs	At-large	W. Frederick Pennington	appt
Financial Institutions	Consumer	W. Donald Pennington	appt
JEDA	1st District	Sean McLernon	appt
JEDA	2nd District	Kenneth Wingate	appt
JEDA	3rd District	Michael Nix	appt
JEDA	7th District	Henry Swink	appt
JEDA	5th District	Gregory Thompson	appt

STATE OF SOUTH CAROLINA

JEFFREY S. GOSSETT  
CLERK OF THE SENATE  
DIRECTOR OF RESEARCH

KENNETH M. MOFFITT  
COUNSEL TO THE CLERK



TEL: (803) 212-6200  
FAX: (803) 212-6299

THE SENATE  
P. O. BOX 142  
COLUMBIA, SOUTH CAROLINA 29202-0142

February 28, 2013

Mr. James I. Warren  
119 Meyers Drive  
Greenville, South Carolina 29605

Dear Mr. Warren:

The Senate acted to confirm your appointment listed below on February 28, 2013, evidence of which is published in the Journal of the Senate for that day.

**STATEWIDE APPOINTMENT**

**Initial appointment, State Ethics Commission, term commencing May 31, 2010 and expiring May 31, 2015.**

Please contact my office if you should have any questions or desire additional information.

Sincerely,  
A handwritten signature in black ink, appearing to read "Jeffrey S. Gossett".  
Jeffrey S. Gossett

cc: The Honorable Mark Hammond, Secretary of State  
Governor Nikki Haley



**State of South Carolina**  
**Office of the Governor**

NIKKI R. HALEY  
GOVERNOR

1205 PENDLETON STREET  
COLUMBIA 29201

January 15, 2013

Mr. President and Members of the Senate,

I am transmitting herewith an appointment for confirmation. This appointment is made with advice and consent of the Senate and is therefore submitted for your consideration.

**STATEWIDE APPOINTMENT**

**State Ethics Commission**

Term Commencing: 5/31/2010

Term Expiring: 5/31/2015

Seat: 4th Congressional District

Vice: J.B. Holeman

**Home Information**

Mr. James I. Warren

119 Meyers Drive

Greenville, South Carolina 29605

864-230-0161

My very best,

A handwritten signature in cursive script, reading "Nikki R. Haley".

Nikki R. Haley

NRH/kdb

STATE OF SOUTH CAROLINA

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119 Meyers Drive  
Greenville, South Carolina 29605

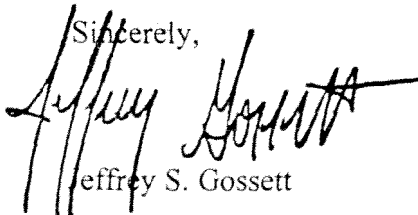
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Nikki R. Haley

NRH/kdb



# State of South Carolina

## Office of the Governor

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GOVERNOR

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Seat: 4th Congressional District

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#### Home Information

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119 Meyers Drive

Greenville, South Carolina 29605

864-230-0161

My very best,

A handwritten signature in black ink, appearing to read "Nikki R. Haley". The signature is fluid and cursive, with the first name "Nikki" and last name "Haley" being the most prominent parts.

Nikki R. Haley

NRH/kdb



Office of the Governor  
State of South Carolina

Application  
Boards, Commissions, and Committees

Your nomination **will not** be complete until this application is filed with the Office of Boards and Commissions, 1205 Pendleton Street, Columbia, South Carolina 29201.

1] Your Name:

Dr./Mr./Mrs./Ms. Warren III James Ivey  
Last First Middle

2] Name of Board, Commission, or Committee you are being considered for:

State Ethics Commission

3] Your Current Address, City, Zip and County:

Your Congressional District: 4<sup>th</sup> ✓

119 Meyers Drive, Greenville, 29605, Greenville

4] Home Telephone: 864-250-0620 5] Office Telephone: 864-242-8320 6] Fax: 864-235-8900

7] Mobile Telephone: 864-230-0161 8] Email Address: jwarren@wyche.com

9] Drivers License # [REDACTED] 10] Social Security # [REDACTED]

11] Voter Registration # [REDACTED] 12] Date of Birth [REDACTED]

13] Race: Caucasian 14] Sex: Male Female

15] Level of Educational Background Completed:

Some High School \_\_\_\_\_  
High School graduate or equivalence (G.E.D.) \_\_\_\_\_  
Some College \_\_\_\_\_  
College graduate ✓  
Professional degree (please specify) J.D.

16] Present Employer Wyche, P.A.

Address 44 East Camperdown Way, Greenville, SC 29601

Current Position Member of Law Firm

17] Years of residence in South Carolina: 16

18] Have you ever been arrested for a crime other than a minor traffic violation? No If so, give details\*

19] Have you filed state and federal income tax returns for the past five years? Yes If not, give details\*

20] Are you or any company in which you have a controlling interest delinquent in any local, state or federal taxes? No If so, give details\*

- 21] Have you ever defaulted on any state or federal student loan? No If so, give details\*
- 22] Have you been treated for any alcohol, drug addiction, or substance abuse for the preceding five years? No If so, give details.\*
- 23] Have you been party (plaintiff or defendant) in any state or federal litigation for the preceding five years? No If so, give details.\*
- 24] Have you ever served in the military? No  
Were you honorably discharged? \_\_\_\_\_ If not, give details.\*
- 25] Have you ever been terminated from any employment for cause? No If so, give details.\*
- 26] Have you or any employer for the preceding ten years been investigated, reprimanded, fined, or suspended for doing business with any state or federal agency? No If so, give details\*
- 27] Do you have any interest in any business that has, is, or will do business with the State of South Carolina or the entity for which you are applying? Yes/Maybe If so, give details.\* See Attachment #1
- 28] Do you serve on any local or state board, commission, committee, or elected office? No If so, list.\*
- 29] Are you a registered lobbyist in the State of South Carolina? No
- 30] Have you ever been disciplined or fined by the State Ethics Commission? No If so, give details.\*
- 31] Have you ever been disciplined or fined by any professional or regulatory agency? No If so, give details.\*
- 32] I hereby agree to attend the stated or called meetings of this entity to which I may be appointed and further agree that should I miss:  
A. Three consecutive meetings or,  
B. Half of the meetings within a six month period,  
Unless excused by the Chair prior to the meeting, for reasons beyond my control (illness, death in the family, etc.), I will resign my appointment.

\* Use extra sheet if necessary.

### CERTIFICATION OF APPLICANT

Personally appeared before me, the applicant, who being duly sworn, disposed, and says that all his/her statements are true, accurate and complete: and that he/she knows and agrees that any misrepresentation or omission of the facts may result in his/her being disqualified or being discharged should he/she already be appointed by the Governor. He/she authorizes the State Law Enforcement Division to conduct a background investigation, including but not limited to a criminal history, driving record and credit check. He/she also authorizes the Governor's Office to provide the nominating authorities with copies of this application, the criminal history and credit report and any other information gathered in processing this appointment.

James I. Warren III  
Applicant's Signature - James I. Warren III

Sworn and subscribed before me this 27<sup>th</sup> day of November,  
Two Thousand and Twelve

Jackie C. Ballard  
Notary Public for South Carolina

My commission expires 4-21-2013



## **Attachment #1**

Applicant: James I. Warren III

### 27] Details Regarding Question 27

I am a member of Wyche, P.A. ("Wyche"), a law firm. Wyche, from time to time, has, does or may in the future represent the State of South Carolina, departments of the State of South Carolina (e.g. DHEC) or political subdivisions of the State of South Carolina (e.g. a county).

Additionally, Wyche owns Camperdown Title Services, Inc. ("Camperdown Title"). Camperdown Title is licensed by the South Carolina Department of Insurance. I am President of Camperdown Title, and I hold a title insurance license which is issued by the South Carolina Department of Insurance.

*STATE ETHICS COMMISSION*  
STATEMENT OF ECONOMIC INTERESTS FORM

**PLEASE READ ALL INSTRUCTIONS BEFORE COMPLETING THIS FORM**

THE STATEMENT OF ECONOMIC INTERESTS FORM IS TO BE FILED:

- (1) PRIOR TO TAKING THE OATH OF OFFICE OR ENTERING UPON THE RESPONSIBILITIES OF THE POSITION
- (2) CANDIDATES FILE AT THE TIME OF BECOMING A CANDIDATE
- (3) ANNUALLY, THEREAFTER, PRIOR TO APRIL 15

STATE SENATORS AND CANDIDATES FOR STATE SENATE

SENATE ETHICS COMMITTEE  
P. O. Box 142  
Columbia, SC 29202

STATE REPRESENTATIVES AND CANDIDATES FOR STATE REPRESENTATIVE

HOUSE ETHICS COMMITTEE  
P. O. Box 11867  
Columbia, SC 29211

ALL OTHER ELECTED OFFICIALS (including Probate Judges)  
PUBLIC MEMBERS AND PUBLIC EMPLOYEES

STATE ETHICS COMMISSION  
5000 Thurmond Mall, Suite 250  
Columbia, SC 29201

CANDIDATES FOR PUBLIC OFFICE

**NOTE:** All Candidates must also file a  
Campaign Disclosure Form.

With the party official or other  
designated official authorized to receive  
a notice of candidacy or petition to  
appear on the election ballot

THE FOLLOWING DESIGNATED OFFICIALS, MEMBERS OR EMPLOYEES, BY WHATEVER TITLE:

1. A person appointed to fill the unexpired term of an elective office;
2. Employees of regulatory agencies who are associated with a regulated business;
3. A member of a state board, commission, or agency;
4. A compensated member of a local board, commission, or agency;
5. The chief administrative official or employee and deputy or assistant administrative official or employee or director of a division, institution, or facility of any agency or department of state government;
6. The city administrator, city manager, or chief municipal administrative official or employee, by whatever title;
7. The county manager, county administrator, county supervisor, or chief county administrative official or employee, by whatever title;
8. The chief administrative official or employee of each political subdivision including, but not limited to, school districts, libraries, regional councils, airport commissions, hospitals, community action agencies, water and sewer districts, and development commissions;
9. A school district and county superintendent of education;
10. A school district board member and a county board of education member;
11. The chief finance official or employee and the chief purchasing official or employee of each agency, institution, or facility of state government, and of each county, municipality, or other political subdivision including, but not limited to, those named in Item (7).
12. All Public Officials.

**NOTE: KEEP A COPY OF THIS FORM FOR FOUR (4) YEARS.**

**\$100 PER DAY PENALTY IF  
FILED LATE**

STATEMENT OF ECONOMIC INTERESTS  
GENERAL INSTRUCTIONS

ADDITIONAL INFORMATION - Candidates must provide the completed form to the election official, or other person designated to receive the declaration of candidacy or petition to appear on the election ballot. Within five (5) days after the filing books close, the election official must send an original and one copy, along with a candidate's roster, to the appropriate supervisory office. Upon receipt of the copies, the appropriate supervisory office will certify to the election official that the candidate has met the filing requirement and may properly have his name appear on the election ballot.

Annual reports must be filed with the appropriate supervisory office.

A copy of the completed form is provided by the supervisory office to the Clerk of Court in the county of the candidate's residence. In the Clerk of Court's office, as well as in the supervisory office, the filing becomes a matter of public record, open to public inspection upon request.

Faxed copies of this form will not be accepted. The originals must be received no later than 5:00 p.m. on the date of the established deadline.

Keep a copy of this form for four (4) years. A late filing penalty of **\$100 per day WILL** be assessed if the form is not received within five (5) days of the established deadline.

If more than one category in the filing information chart applies, a completed Statement of Economic Interests Form must be filed with each appropriate filing office.

Please type or print all responses. Incomplete or illegible statements may be returned for resubmission. Additional information concerning any section of this statement may be included by attaching supplemental sheets. Number and date all supplemental attachments. Each statement requires information to be reported for the prior calendar year, regardless of when the form is completed. All disclosure statements are a matter of public record, open to public inspection upon request.

**CANDIDATES ONLY:**

**NOTE: ALL CANDIDATES MUST ALSO FILE A CAMPAIGN DISCLOSURE FORM.**

**A CAMPAIGN DISCLOSURE FORM MUST BE FILED AT LEAST FIFTEEN DAYS BEFORE EACH ELECTION, EVEN IF NO MONEY IS RAISED OR SPENT. AN INITIAL REPORT MUST ALSO BE FILED WITHIN TEN DAYS AFTER SPENDING OR RECEIVING \$500, EVEN IF THE MONEY PROVIDED IS SOLELY THE CANDIDATE'S OWN FUNDS. AFTER THE CANDIDATE FILES THE INITIAL FORM, A CAMPAIGN DISCLOSURE FORM MUST BE FILED WITHIN 10 DAYS AFTER THE END OF EACH CALENDAR QUARTER. THE QUARTERLY REPORTS MUST BE FILED UNTIL A FINAL REPORT IS FILED (i.e., NO MONEY IN THE CAMPAIGN ACCOUNT AND NO UNPAID DEBTS).**

**IF THE REPORTS ARE NOT FILED OR IF THE FORMS ARE LATE, A LATE FILING PENALTY, OF \$100 PER DAY, WILL BE LEVIED.**

**ALL CANDIDATES MUST OPEN A SEPARATE CHECKING OR SAVINGS ACCOUNT, UNLESS THE FILING FEE IS THE ONLY EXPENSE AND IT IS PAID FROM PERSONAL FUNDS.**

INSTRUCTIONS FOR PAGE 1

SOCIAL SECURITY NUMBER - This information is required for administrative purposes, only for positive identification of the filer, and will not be released to the public.

STATEMENT OF ECONOMIC INTERESTS  
INSTRUCTIONS FOR PAGE 2

1. Indicate whether you have ever filed a Statement of Economic Interests Form: yes or no
2. NAME - Indicate your full name. If you are commonly known by some other name, please indicate the name or nickname.
3. COUNTY OF RESIDENCE - Identify the name of the county where you legally reside. A copy of this form will be provided to the Clerk of Court in the county of residence.
4. ADDRESS - Indicate your full mailing address.
5. PHONE - Indicate a daytime telephone number where you can be reached.
- 6 & 7 - STATUS - Current and sought - Enter as many status numbers as apply to all position(s) currently held or sought.  
POSITION TITLE(S) AND AGENCY(S) - Identify the title of each position which you presently hold with public agencies in South Carolina at the time of filing. Incumbent officeholders indicate the name of the position and agency on line (a). If a second position is held, indicate that position and agency on line (b). Candidates indicate the name of the position and agency which is being sought.  
TERM(S) OF OFFICE - Enter the month and year of both the beginning and ending dates of the term if you are presently elected. Enter the month and year of the beginning and ending of the term that you are seeking if you are a candidate for elective office. Complete both sections if you are both an elected official and a candidate, whether for the same or a different office.
8. DATE OF HIRE OR DATE OF APPOINTMENT - (Employees and Appointed Officials Only) - Indicate the month and year of hire or appointment by the agency(s) with which you are currently serving.
9. CANDIDATES ONLY: DATE FILED AS A CANDIDATE - Indicate the month, day, and year when you filed the declaration of candidacy or petition to appear on the election ballot.
10. ELECTION DATE - Indicate the month, day, and year of the primary, general, and/or other election for the office for which you are a candidate.
11. **A SEPARATE CAMPAIGN DISCLOSURE FORM MUST BE FILED BY ALL CANDIDATES WITHIN 10 DAYS AFTER SPENDING OR RECEIVING \$500, 15 DAYS PRIOR TO EACH ELECTION, AND 10 DAYS AFTER THE END OF EACH CALENDAR QUARTER. ALL CANDIDATES MUST OPEN A SEPARATE CHECKING OR SAVINGS ACCOUNT, UNLESS THE FILING FEE IS THE ONLY EXPENSE AND IT IS PAID FROM PERSONAL FUNDS.**

**CERTIFICATION** - Sign and date the form, verifying that the information that you have provided is true, complete and correct to the best of your knowledge.

**NOTE:** Items 13-21 must indicate a response. If the item applies, complete according to instructions. If the item does not apply to you, check the "None" block. If these items are not completed, the form will be returned for completion. All responses must be for the prior calendar year, regardless of when the form is completed.

STATEMENT OF ECONOMIC INTERESTS  
INSTRUCTIONS FOR PAGE 3

13. INCOME AND BENEFITS - Indicate the source, type, amount and/or value of income received by you or a member of your immediate family from state and local agencies in South Carolina during the prior calendar year. Generally, this amount is the same as the gross amount reported on your W-2 form. Any benefits not available to all employees or officials must be disclosed. Source refers to the public agency providing the income, compensation, or benefit. Type indicates the nature of the income or benefit (i.e., compensation, use of publicly-owned vehicle, residence, travel allowance, insurance, etc.) The amount, when known, should be disclosed. An amount does not need to be disclosed concerning permanent assignment of a vehicle or residence. State retirement does not need to be disclosed.

14. REGULATED BUSINESS ASSOCIATION(S) - Employees of regulatory agencies associated with businesses regulated by the agency must indicate the name(s) of all such businesses and how they are associated with that business. Disclose how that business is regulated by the regulatory agency.

15. REAL OR PERSONAL PROPERTY INTERESTS - Real estate interests held by you or a member of your immediate family in South Carolina must be disclosed (a) if the interest can be reasonably expected to be a conflict of interest with your public position, (b) if there have been public improvements (i.e., addition of sidewalks, road paving, water and/or sewer service, etc.) of more than \$200 on this or adjoining property, or (c) if the property has been sold, leased, or rented to a state or local public agency in South Carolina. Describe the nature of the property (i.e., residence, farm acreage, beach house), its physical location, and its market value. Identify the nature of the potential conflict of interest. Describe the nature and value of any public improvements. Identify the agency(s) which purchased, leased, or rented property from you. A copy of the sales contract or lease or rental agreement must be attached to this form.

Identify any personal property sold, leased, or rented by you or a member of your immediate family to a state or local public agency in South Carolina. Identify the type of property and the name of the agency(s) involved in the transaction(s) as well as the amount of value of the transaction(s). A copy of the sale contract, lease, or rental agreement must be attached to this form.

16. BUSINESS INTERESTS - Identify every business or entity in which you or a member of your immediate family held or controlled, in the aggregate, securities or interests constituting five percent or more of the total issued and outstanding securities and interests which constitute a value of \$100,000 or more. Identify your relationship to that business (officer, stockholder of more than \$100,000).

STATEMENT OF ECONOMIC INTERESTS  
INSTRUCTIONS FOR PAGE 4

17. CREDITORS - List by name and address, each creditor to whom you or any member of your immediate family owed a debt in excess of \$500 at any time during the reporting period if the credit or loan is from some person which is regulated by the agency with which you are associated or from some person which is seeking a business or financial relationship with the agency with which you are associated. Disclose the original amount of the debt and the amount outstanding as of the end of the reporting period. Do not disclose amounts on credit cards or retail installment contracts. Also, do not disclose debt promised or loaned by a bank, savings and loan or other licensed financial institution which loans money in the ordinary course of business and on terms and interest rates generally available to a member of the general public, without regard to status as a public official, public member, or public employee. Debt promised or loaned by a family member is not disclosed, if the person who promises or makes the loan is not acting as your agent or intermediary to a financial institution. Disclose the rate of interest charged on any reportable debt, the original amount and the outstanding balance.

18. LOBBYISTS - Identify the name and relationship of any lobbyist who is an immediate member of your family or an individual or business with which you or a member of your immediate family is associated. Identify any lobbyist or lobbyist's principal who has purchased goods or services of more than \$200 from you, a member of your immediate family, or an individual or business with which you are associated. Identify the type of goods or services purchased, the amount, from whom the material was purchased and your relationship to that person or business.

19. GOVERNMENT CONTRACTS - Identify each individual or business from which you receive compensation, if that individual or business also contracts with the governmental entity with which you serve or which employs you. Report the name and address of that individual or business and the amount of compensation paid to you by that individual or business. Identify further your relationship to that individual or business, the nature and amount of the contract, and the public agency involved in the contract.

20. GIFTS - The source and a brief description of any gifts, including transportation, lodging, food, or entertainment, received during the preceding calendar year from: (a) a person, if there is reason to believe the donor would not give the gift, gratuity, or favor but for your office or position; or (b) a person, or from an officer or director of a person, if you have reason to believe the person: (i) has or is seeking to obtain contractual or other business or financial relationship with your agency; or (ii) conducts operations or activities which are regulated by your agency if the value of the gift is \$25 or more in a day or if the value totals, in the aggregate, \$200 or more in a calendar year. Identify the type of gift, its value, as well as the donor and your relationship to that donor. Use this space to disclose travel expenses paid or reimbursed pursuant to Section 8-13-715.

21. MEMBERS OF THE GENERAL ASSEMBLY AND CANDIDATES FOR THE GENERAL ASSEMBLY ONLY - Identify any person represented for compensation, before any governmental entity by you, an individual with whom you are associated, or a business with which you are associated. Disclose the nature of the services rendered in such representation and the nature of any contacts made with governmental agencies regarding such representation. Fees earned for such representations must be fully disclosed. Matters of representation required by law or before courts in the unified judicial system do not require disclosure.

NOTE: You are not required to disclose economic interest information concerning:

- (1) a spouse separated from you by court order;
- (2) a former spouse;
- (3) a campaign contribution that is permitted and reported under Article 13; or
- (4) matters determined to require confidentiality pursuant to Section 2-17-90 (E).

## **CONTACT NUMBERS**

For questions, call: 803/253-4192

or

**Visit the State Ethics Commission  
or copy additional forms at:**

<http://www.state.sc.us/ethics>

### **State Ethics Commission Commissioners**

Gregory P. Harris, Chairman  
Kenneth C. Krawcheck, Member at Large, Vice-Chairman  
Marvin Infinger, 1<sup>st</sup> District  
Edward Duryea, 2<sup>nd</sup> District  
John L. Cannon, 3<sup>rd</sup> District  
Pete G. Diamaduros, 4<sup>th</sup> District  
Duane G. Hansen, 5<sup>th</sup> District  
Vacant, 6<sup>th</sup> District  
Flynn T. Harrell, Member at Large

*Executive Director, Herbert R. Hayden, Jr.  
Publication Editor, Marjorie A. DeLee*



SENATE CONFIRMATION  
CONFIDENTIAL PERSONAL DATA QUESTIONNAIRE

NOTICE: The information requested herein is needed to assist the Senate in its screening of candidates. This document is made available to and used by the appropriate Committee of jurisdiction and is not made public. Since this questionnaire is the initial step in the appointment and confirmation process, it should be returned to the Governor's Office as soon as possible. Please use additional sheets as necessary to complete this document.

Office or Seat to which you are being appointed: State Ethics Commission

1. NAME: Mr. James I Warren III  
Ms.

HOME ADDRESS: 119 Meyers Drive, Greenville, SC 29605

BUSINESS ADDRESS: 44 East Camperdown Way, Greenville, SC 29601

TELEPHONE NUMBER: (home): 864-250-0620  
(office): 864-242-8320

RESIDE IN SENATE DISTRICT#: 8 CONGRESSIONAL DISTRICT#: 4th

2. Date and Place of Birth: [REDACTED] Social Security #: [REDACTED]  
Raleigh, NC
3. Are you a citizen of South Carolina? Have you been a resident of this state for at least the immediate past 5 years? Yes, as to both
4. SCDL# or SCHD#: [REDACTED] Voter Registration Number: [REDACTED]
5. Family Status: Are you  
single ( );  
married (✓);  
widowed ( ); or  
divorced ( )?
- (a) If married, state the date of your marriage and your spouse's full name.  
South Carolina; 7/17/93; Allison Betette Warren
- (b) If you have ever been divorced, state the date, name of the moving party, court, and grounds.  
N/A

- (c) State the names of your children and their ages. If your children are old enough to work, include the occupation of each child.

<u>Name</u>	<u>Age</u>
James I. Warren IV	17
Sarah J. Warren	15
Russell P. Warren	10

6. Have you ever served in the military? If so, give the dates, branch of service, highest rank attained, serial number, present status, and the character of your discharge or release.

No

7. List each college and graduate or professional school you attended, including the dates of your attendance, the degrees you received, and if you left an institution without receiving a degree, the reason for your departure.

A. Rhodes College (F/K/A Southeastern at Memphis) - Sept. 1980 - Dec. 1980  
Transferred to Duke University

B. Duke University - Jan. 1981 - May 1984, A.B. Degree

C. Vanderbilt University - Sept. 1988 - May 1991, J.D. Degree

8. List the states in which you have been licensed and/or admitted to a professional practice and the year of each license and/or admission. Also, list any states in which you took a professional license exam, but were never admitted to the practice. If you took an exam more than once in any of the states listed please indicate the number of times you took the exam in each state.

A. Georgia - took Bar Exam once; passed in 1991

B. South Carolina - took Bar Exam once; passed in 1997

C. South Carolina - licensed title insurance agent; took test once; passed in 1997

D. Notary Public for State of South Carolina

9. List the significant activities in which you took part during your attendance at college, graduate, and/or professional school. Give the dates you were involved in these activities and list any leadership positions you held.

Clerked for Judge Haynes (Circuit Court Judge in Nashville, TN) during third year of law school (Sept. 1990 - May 1991)

10. Briefly describe any continuing education during the past five years.

I have taken at least the minimum number of CLE hours each year since 1992 to maintain my law licenses.

11. List all published books and articles you have written and give citations and dates of publication for each.  
Wrote chapter entitled "Commercial Leasing Under South Carolina Law" printed in SC Bar Association book on SC Commercial Real Estate released/printed in November, 2012.
12. If an attorney, list all courts in which you have been admitted to practice and list the dates of your admission. Give the same information for administrative bodies which require a special admission to practice.  
I am a transactional attorney and do not practice before any courts or administrative bodies. A portion of my practice is devoted to economic development work and from time-to-time I appear before various county councils in the State of South Carolina.
13. Have you ever held public office? If so, list the periods of your service, the office or offices involved, and whether you were elected or appointed.  
  
No
14. Have you ever been an unsuccessful candidate for elective, judicial, or other public office? If so, give details, including dates.  
  
No
15. Since completing your education, list any occupation, business, or profession in which you have been engaged other than holding public office. Give details, including a description of your occupation, business, or profession, the dates of your employment, and the name of your business or employer.
- | <u>Occupation</u> | <u>Employer</u>       | <u>Dates of Employment</u> |
|-------------------|-----------------------|----------------------------|
| Lawyer            | Troutman Sanders, LLP | 09/1991 - 09/1996          |
| Lawyer            | Wyche, PA             | 09/1996 - Present          |
16. Are you now an officer or director or involved in the management of any business enterprise? Explain the nature of the business, your duties, and the term of your service.
1. Member of Wyche, PA, a South Carolina Law Firm
  2. Member/Manager of Jural Partners, LLC, a company that owns commercial real estate in Greenville, SC
  3. President, Camperdown Title Services, Inc., a wholly-owned subsidiary of Wyche, PA

17. Provide a complete, current financial net worth statement that itemizes in detail:

- a) the identity and value of all financial assets held, directly or indirectly, including, but not limited to, bank accounts, real estate, trusts, investments, and other financial holdings

See attached financial statement

- b) the identity and amount of each liability owed, directly or indirectly, which is in excess of \$1,000, including, but not limited to, debts, mortgages, loans, and other financial obligations.

See attached financial statement

A sample net worth statement is provided with this questionnaire for your convenience. You may use any other comparable form if it was prepared within the past six months.

18. Describe any financial arrangements or business relationships which you have, or have had in the past, that could constitute or result in a possible conflict of interest in the position you seek. Explain how you would resolve any potential conflict of interest.

My law firm represents various clients. It is our standard practice to run a conflict check for new clients/new matters. If appointed, I would circulate Ethic Commission's agenda to other attorneys in the firm for conflict/appearance of conflict purposes and abstain from any agenda item which could pose a conflict/appearance of conflict.

19. Have you ever been arrested, charged, or held by federal, state, or other law enforcement authorities for violation or for suspicion of violation of any federal law or regulation, state law or regulation or county or municipal law, regulation or ordinance? If so give details but do not include traffic violations for which a fine of \$125 or less was imposed.

No

20. Have federal, state, or local authorities ever instituted a tax lien or other collection procedure against you? Have you ever defaulted on a student loan? Have you ever filed for bankruptcy? If so, give details.

No, to all questions

21. Have you ever been sued, personally or professionally? If so, give details.

No

22. Have you ever been disciplined or sited for unprofessional conduct or a breach of ethics by any court, administrative agency, bar association, disciplinary committee, or other professional group? Have you ever been the subject of a formal complaint, or is there a complaint pending against you before such a group? If so, give the details and describe any final disposition.

No, as to all questions

23. Are you now or have you ever been employed as a "lobbyist," as defined by S.C. Code §2-17-10(14)? If so, give the dates of your employment or activity in such capacity and specify by whom you were directed or employed.

No

24. Since being notified of your possible appointment, have you accepted lodging, transportation, entertainment, food, meals, beverages, money, or any other thing of value as defined by S.C. Code §2-17-10(1) from a lobbyist or lobbyist's principal? If so, please specify the item or items you received, the date of receipt, and the lobbyist or lobbyist's principal involved.

No

25. Itemize (by amount, type, and date) all expenditures, other than those for travel and room and board, made by you, or on your behalf, in furtherance of your candidacy for the position you seek.

None

26. List the amount and recipient of all contributions made by you or on your behalf to the appointing authority or members of the General Assembly within six months of the filing of this questionnaire.

None

27. Have you directly or indirectly requested the pledge of any member of the General Assembly as to your confirmation for the position for which you are being appointed?

No

28. Have you requested a friend or colleague to contact members of the General Assembly on your behalf? If so, give details.

No

29. Have you or has anyone on your behalf solicited or collected funds to aid in the promotion of your candidacy? If so, please specify the amount, solicitor, donor, and date of the solicitation.

No

30. List all professional organizations of which you are a member and give the titles and dates of any offices you have held in such groups.

Greenville County Bar Association - President 2009, VP 2008; Treasurer 2007; Secretary 2006

Urban Land Institute - member for a least past 5 years

Palmetto Land Title Association - member for at least past 5 years

31. List all civic, charitable, educational, social, and fraternal organizations of which you are or have been a member during the past five years and include any offices held in such a group, any professional honors, awards, or other forms of recognition received and not listed elsewhere.

.Saint Matthew United Methodist Church - former Chairperson of Board of Stewards, former member of Board of Trustees, former member of Endowment Committee

.Recognized in Best Lawyers in America and Super Lawyers

32. List any local, county or statewide board, commission, council or other body on which you currently serve which constitutes the holding of an office under the provisions of Article VI, Section 3 of the South Carolina Constitution, to wit:

No person may hold two offices of honor or profit at the same time. This limitation does not apply to officers in the militia, notaries public, members of lawfully and regularly organized fire departments, constables, or delegates to a constitutional convention.

None

33. Provide any other information which may reflect positively or negatively on your candidacy, or which you believe should be disclosed in connection with consideration of appointment to the position that you seek.

Recognized in 2009 by Martindale Hubbell/Lexis Nexis with AV rating - highest rating for legal abilities and ethics

34. List the names, addresses and telephone numbers of five persons, including your banker, who will provide letters of reference. Letters should be *addressed* the South Carolina Senate and **must be mailed with your completed application to: Office of the Governor, ATTN: Madison Walker, 1205 Pendleton Street, Columbia, SC 29201.**

(a) Earle Harding - Palmetto Bank - 306 E. North St., Greenville, SC 29601  
864-255-7967

(b) Eric Amstutz - 17 Ridgeland Dr., Greenville, SC 29601 - 864-242-8201

(c) Gregory J. English - 44 E. Camperdown Way, Greenville, SC 29601  
864-242-8247

(d) Terrell W. Mills - 44 E. Camperdown Way, Greenville, SC 29601  
864-242-8382

(e) J. Theodore Gentry - 44 E. Camperdown Way, Greenville, SC 29601  
864-242-8270

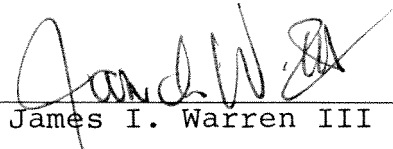
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YOUR SIGNATURE WILL BE HELD TO CONSTITUTE A WAIVER OF THE  
CONFIDENTIALITY OF ANY PROCEEDING BEFORE ANY PROFESSIONAL GRIEVANCE  
COMMITTEE OR ANY INFORMATION CONCERNING YOUR CREDIT.

I HEREBY CERTIFY THAT MY ANSWERS ARE TRUE AND COMPLETE TO THE BEST OF MY  
KNOWLEDGE.

Date: Nov. 27, 2012

Signature: \_\_\_\_\_

  
James I. Warren III



CONFIDENTIAL FINANCIAL STATEMENT  
NET WORTH

Date of Statement: November 5, 2012

Name: James Ivey Warren III  
Address: 44 East Camperdown Way, Greenville, SC 29601 (business address)  
119 Meyers Drive, Greenville, SC 29605 (home address)  
Employer: Wyche, P.A.  
Position: Attorney (Member of Firm); Employed at Firm since September 6, 1996

**Assets (estimates):**

1. Cash on hand in banks - checking and savings accounts: (includes accounts jointly held with spouse)	\$50,000
2. Vehicles owned (3 vehicles)	\$30,000
3. Household Furnishings (Jointly Owned Items With Spouse – Some Items owned solely by Spouse and are excluded)	\$40,000
4. Whole Life Insurance Policy with Northwestern (Cash Value)	\$20,000
5. Jural Partners, LLC (Value of Equity) Jural Partners, LLC primarily owns 2 office buildings in Greenville, South Carolina (own a minority interest in such LLC)	\$60,000
<b>Total Assets (excludes Firm Pension/Profit Sharing Fund and Individual Roth IRA Account)</b>	<b><u>\$200,000</u></b>

**Liabilities (estimates):**

1. Mortgage Loans <sup>1</sup>	\$395,000
2. Car Loan	\$13,000
<b>Total Liabilities</b>	<b><u>\$408,000</u></b>

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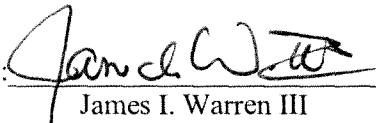
<sup>1</sup> Allison B. Warren (wife) is the sole owner of Meyers Drive house. James I. Warren III is a borrower under two notes, which notes are secured by mortgages on the house. Amounts above reflect total estimates of amounts currently owed under both mortgage loans if both mortgage loans were to be paid off as of the date of this financial statement.

GENERAL INFORMATION:

1. Question: Are any assets pledged?  
Answer: House is pledged as security for two mortgage loans. Allison B. Warren (wife) is the sole owner of the house located at 119 Meyers Drive. James I. Warren III is a borrower under two notes, which notes are secured by two separate mortgages on the house. One of the cars owned by James I. Warren III has a lien in favor of a bank.
2. Question: Are you a defendant in any suits or legal actions?  
Answer: No
3. Question: Have you ever taken bankruptcy?  
Answer: No

I HEREBY CERTIFY THAT MY ANSWERS ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

Date: November 5, 2012

Signature:   
James I. Warren III

STATE ETHICS COMMISSION  
STATEMENT OF ECONOMIC INTERESTS FORMName of Candidate or Filer: Last Name, First Name, Middle Initial Mr. (☒) Mrs. ( ) Ms. ( )

W A R R E N J A M E S I

Mailing Address:

119 Meyers Drive

City:

GREENVILLE

State:

SC

Zip:

29605

Phone:

864 - 242 - 8320

The following information is required for administrative purposes, only for positive identification of the filer, and will not be released to the public.

Social Security Number:



NOTE: PLEASE COMPLETE THIS ENTIRE REPORT IN **BLUE** OR **BLACK** INK, OR **TYPE**.

**DO NOT USE PENCIL****KEEP A COPY FOR YOUR RECORDS****\$100 PER DAY PENALTY IF FILED LATE**

PRINT IN BLACK OR BLUE INK, OR TYPE (DO NOT USE PENCIL)

1. Have you previously filed this form? ☒ Yes ☐ No

2. County of Residence: GREENVILLE

3. Name: (Last-First-Middle Initial) WARREN JAMES I

4. Mailing Address: 1119 MEYERS DRIVE

City: GREENVILLE State: SC

Zip: 29605

5. Phone: 864-242-1832

\*Status Position, Title, and Agency (If House or Senate, include District #)

Term of Office (mo/yr)

6. Current N/A (a) From To

From To

7. Sought 1 (b) STATE ETHICS COMMISSION From To

\*Status: 1. Appointed 2. Candidate 3. Employee 4. Elected 5. Employee/Regulated Business Association

8. Date of Hire or Appointment (mo-yr): N/A Unless Appointed

**CANDIDATES ONLY - N/A**

9. Date filed as a candidate (mo/da/yr)

10. Election Date(s) (mo/da/yr) Primary General Special

11. **NOTE: ALL CANDIDATES MUST ALSO FILE A CAMPAIGN DISCLOSURE FORM. A CAMPAIGN DISCLOSURE FORM MUST BE FILED AT LEAST FIFTEEN DAYS BEFORE EACH ELECTION, EVEN IF NO MONEY IS RAISED OR SPENT. AN INITIAL REPORT MUST ALSO BE FILED WITHIN TEN DAYS AFTER SPENDING OR RECEIVING \$500, EVEN IF THE MONEY PROVIDED IS SOLELY THE CANDIDATE'S OWN FUNDS. AFTER THE CANDIDATE FILES THE INITIAL FORM, A CAMPAIGN DISCLOSURE FORM MUST BE FILED WITHIN 10 DAYS AFTER THE END OF EACH CALENDAR QUARTER. THE QUARTERLY REPORTS MUST BE FILED UNTIL A FINAL REPORT IS FILED (i.e., NO MONEY IN THE CAMPAIGN ACCOUNT AND NO UNPAID DEBTS).**

**IF THE REPORTS ARE NOT FILED OR IF THE FORMS ARE LATE, A LATE FILING PENALTY, OF \$100 PER DAY, WILL BE LEVIED.**

**ALL CANDIDATES MUST OPEN A SEPARATE CHECKING OR SAVINGS ACCOUNT, UNLESS THE FILING FEE IS THE ONLY EXPENSE AND IT IS PAID FROM PERSONAL FUNDS.**

12. **CERTIFICATION:** I certify that the contents of this statement are true, correct, and complete to the best of my knowledge and belief. I understand that if this statement is not received within five (5) days of the deadline, a late filing penalty will be levied.

Date 11/27/12

Signature

FOR OFFICE USE ONLY:

☐ COMPLETE ☐ INCOMPLETE  
☐ ENTERED ☐ SCANNED

FAXED COPIES WILL NOT BE ACCEPTED

The original must be received no later than 5:00 p.m. on the date of the established deadline.

**NOTE: PLEASE PROVIDE ONE ORIGINAL AND ONE COPY OF THIS FORM TO THE APPROPRIATE SUPERVISORY OFFICE, AND KEEP A COPY FOR YOURSELF.**

# SEC STATEMENT OF ECONOMIC INTERESTS

pg. 3 of 4

**E5A.2**

(ALL RESPONSES MUST BE FOR THE PRIOR CALENDAR YEARS)

## 13. INCOME AND BENEFITS FROM STATE AND LOCAL AGENCIES IN SOUTH CAROLINA (Check if none ☒)

Source	Type	Amount/Value

## 14. REGULATED BUSINESS ASSOCIATIONS (Check if none ☐)

Name of Business	Relationship	Source of Regulatory Involvement
Wyche, PA	Member	SC Supreme Court
Camperdown Title Services, Inc.	President	SC Dept. of Insurance

## 15. REAL OR PERSONAL PROPERTY INTERESTS (Check if none ☒)

Description	Value	Location

Nature and Value of Improvements \_\_\_\_\_

Nature of Potential Conflict of Interest \_\_\_\_\_

Agency Purchasing, Leasing, or Renting the Property\*

\*A copy of the contract, lease, or rental agreement must be attached to this form.

## 16. BUSINESS INTERESTS (Check if none ☒)

Name of Business	Relationship

# SEC STATEMENT OF ECONOMIC INTERESTS

pg. 4 of 4

## E5A.3

17. CREDITORS (Check if none ☒)

Name and Address of Creditor	Rate of Interest	Original Amount	Outstanding Amount

18. LOBBYISTS (Check if none ☒)

(a) Name of Lobbyist	Relationship or Association

(b) Name of Lobbyist	Goods/Service Purchased	Amount	Purchased From	Relationship

19. GOVERNMENT CONTRACTS (Check if none ☒)

Contractor Name and Address	Relationship	Nature of Business	Amount	Agency

20. GIFTS (Check if none ☒)

Nature of Gift	Value	Donor	Relationship

21. MEMBERS OF AND CANDIDATES FOR THE GENERAL ASSEMBLY ONLY (Check if none ☐)

Person Represented	Services Rendered	Nature Contact w/Gov. Agency	Fees Earned

## Addendum to Question 34 of the Senate Personal Data Questionnaire

Question 34 asks for a list of five individuals willing to provide letters of reference. These letters are required by the Senate before they will consider a nomination. It is the responsibility of the nominee to contact and request a letter of reference from each individual and include the letters with the application materials when they are mailed.

### Tips and Guidelines for Letters of Reference:

1. *It is required by the Senate that one letter come from your banker.* This requirement is somewhat outdated in that, in an era of ATM's and online banking, a good number of people do not have a direct personal relationship with a bank employee anymore. A letter from a branch manager or account manager stating that the banking relationship is sound and that accounts are in good standing will suffice.
2. *Try to get letters from as many different perspectives as possible.* Avoid requesting letters from the same type of individual. For example, letters from a colleague from work, a pastor or fellow church member, a fellow member of a civic or community organization, and a longtime neighbor would give a well rounded perspective of a nominee's involvement in the community. Letters from a nominee's attorney, insurance agent, doctor, or personal friends are also acceptable— anyone with whom the nominee has a longstanding relationship. It is even better if they are a prominent member of the community.
3. *Letters should be addressed to the South Carolina Senate in the following manner:*  
  
South Carolina Senate  
State House  
Columbia, South Carolina  
  
Dear Ladies and Gentlemen of the Senate,
4. *Length and content.* Letters should be brief – one page or shorter. Letters should let the Senate know who the author is, the author's relationship with the nominee, how long the author has known the nominee, and any other relevant information necessary to provide a good reference.
5. *Nominees are responsible for collecting letters of reference.* Nominees should ask that letters of reference be mailed or delivered directly to them. Once all letters are collected, they should be mailed to the Governor's Office with the rest of the application materials.

**\*\*\*Please note: Letters need to be included in your complete application packet, which is returned to the Governor's office. \*\*\***

JAMES I. WARREN III  
119 Meyers Drive  
Greenville, South Carolina 29605

November 27, 2012

**VIA FIRST CLASS MAIL**

Office of Governor Nikki R. Haley  
Attn: Madison Walker  
1205 Pendleton Street  
Columbia, South Carolina 29201

Re: State Ethics Commission Application/Nomination

Dear Ms. Walker:

Enclosed please find one (1) original and one (1) copy of each of the following completed/signed documents with respect to the above-referenced matter:

1. Governor's Office Application;
2. Senate Confidential Personal Data Questionnaire, including the five (5) required letters of recommendation;
3. Confidential Financial Statement, Net Worth; and
4. State Ethics Commission Statement of Economic Interest Form.

I have also attached my business card. The best way to reach me is to contact me during the day via phone or via e-mail as indicated on my business card. It is also acceptable to mail any correspondence to me at my business address indicated on my business card.

Please do not hesitate to contact me if my application is incomplete, needs to be supplemented in any way or if you have any questions regarding the enclosed materials.

Sincerely,



James I. Warren III

Enclosures

c: Ms. Kate Bondurant (without enclosures; via e-mail only)



# SOUTH CAROLINA LAW ENFORCEMENT DIVISION

NIKKI R. HALEY  
*Governor*



MARK A. KEEL  
*Chief*

December 10, 2012

Ms. Madison Walker  
Boards and Commissions  
Office of the Governor  
Post Office Box 12267  
Columbia, SC 29211

Reference: James I. Warren, III

Dear Ms. Walker:

Pursuant to your request, a criminal records check and credit report have been conducted on the above referenced candidate for appointment by the Governor. **There is no criminal history on this individual.** Based on the information provided, I am enclosing all pertinent information regarding this candidate. This investigation and the results thereof are based on name and demographics only and is not fingerprint based or supported.

If you have any questions regarding this matter, please do not hesitate to call upon me.

Yours very truly,

*Mark A. Keel* B7T

Mark A. Keel, Chief  
South Carolina Law Enforcement Division

MAK/slm



**Inquiry Information:**

Current Address: 119 MEYERS DR  
GREENVILLE, SC 29605

* FIRM/ID CODE	RPTD	OPND	H/C TRM	BAL P/D CS MR ECOA	ACCOUNT NUMBER
PALMETO BK*430BB305	11/12	05/98	200	0 R1 99 J	
LINE OF CREDIT					
AMOUNT IN H/C COLUMN IS CREDIT LIMIT					
BK OF AMER*217BB2183	11/12	12/11	15K 291	13K I1 11 I	
AUTO					
SCBT NA *416BB1848	11/12	06/08	57K 54	14K R1 52 J	
HOME EQUITY					
LINE OF CREDIT					
CHASE *458ON13374	11/12	03/05	26K 25	453 R1 91 I	
AMOUNT IN H/C COLUMN IS CREDIT LIMIT					
FLEXIBLE SPENDING CREDIT CARD					

EXXMBCITI\*491OC65854 11/12 04/89 500 25 191 R1 67 I  
 CREDIT CARD  
 AMOUNT IN H/C COLUMN IS CREDIT LIMIT  
 CHASE \*181FM1268 10/12 03/10 395K 2K 379K I1 27 J  
 FANNIE MAE ACCOUNT  
 REAL ESTATE MORTGAGE  
 GEGRB/BELK\*404DC2852 11/12 07/09 124 0 R1 40 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 CHARGE  
 BB&T \*456BB12174 12/11 11/06 16K 329 0 I1 25 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 AUTO  
 GMAC MTG \*146FM17 03/10 08/09 375K 2K 0 I1 07 J  
 FANNIE MAE ACCOUNT  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 SCBT NA \*416BB1848 03/10 05/04 24K 404 0 I1 69 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 NOTE LOAN  
 CHASE \*458ON13374 12/09 09/98 27K 0 R1 99 I  
 ACCOUNT CLOSED AT CONSUMERS REQUEST  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 CHASE \*181FM1268 09/09 11/05 308K 2K 0 I1 44 J  
 FREDDIE MAC ACCOUNT  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
  
 TD BANK \*430BB1758 06/09 11/06 16K 329 0 I1 31 I  
 ACCOUNT TRANSFERRED OR SOLD  
 AUTO  
 JPM CHASE \*404BB1370 02/09 08/04 16K 325 0 I1 54 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 AUTO  
 SCBT NA \*416BB1848 12/05 05/04 350K 3Y 0 I1 17 J  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 REAL ESTATE MORTGAGE  
 CBUSASEARS\*906BB5601 02/05 10/96 6700 0 R1 91 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 CLOSED ACCOUNT  
 MB FIN SVC\*682FA9393 08/03 03/98 9600 206 0 I1 65 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 WFB/DFS \*062BB1205 09/04 07/03 14K 60M 0 I1 13 I  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 AES/PHEAA \*496ZZ510 07/04 01/92 42K 0 I1 77 I  
 ACCOUNT CLOSED AT CONSUMERS REQUEST  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE  
 PALMETO BK\*430BB305 06/04 04/01 268K 2K 0 I1 38 J  
 FREDDIE MAC ACCOUNT  
 CLOSED OR PAID ACCOUNT/ZERO BALANCE

* MEMBER #	COMP. NAME	TELEPHONE	* MEMBER #	COMP. NAME	TELEPHONE
416AN4577	BRADSHACUR	864-2974529	815BB54574	BK OF AMER	336-
8062418					
309BB1144	BB&T DF	336-7337821	430BB305	PALMETO BK	864-
9844551					
217BB2183	BK OF AMER	800-2992265	416BB1848	SCBT NA	803-
5342175					
458ON13374	CHASE	800-9559900	491OC65854	EXXMBCITI	800-

9505114						
181FM1268	CHASE	800-8489136	404DC2852	GECRB/BELK	MAIL ONLY	
456BB12174	BB&T	252-2960375	146FM17	GMAC MTG	800-	
7664622						
430BB1758	TD BANK	864-2557917	404BB1370	JPM CHASE	800-	
4334358						
906BB5601	CBUSASEARS	MAIL ONLY	682FA9393	MB FIN SVC	MAIL ONLY	
062BB1205	WFB/DFS	MAIL ONLY	496ZZ510	AES/PHEAA	717-	
2572560						

.....

\*\*

PARA INFORMACION EN ESPANOL, VISITE WWW.FTC.GOV/CREDIT O ESCRIBE A LA FTC  
CONSUMER RESPONSE CENTER, ROOM 130-A 600 PENNSYLVANIA AVE. N.W.,  
WASHINGTON, D.C. 20580.

#### A SUMMARY OF YOUR RIGHTS UNDER THE FAIR CREDIT REPORTING ACT

THE FEDERAL FAIR CREDIT REPORTING ACT (FCRA) PROMOTES THE ACCURACY, FAIRNESS,  
AND PRIVACY OF INFORMATION IN THE FILES OF CONSUMER REPORTING AGENCIES.  
THERE

ARE MANY TYPES OF CONSUMER REPORTING AGENCIES, INCLUDING CREDIT BUREAUS AND  
SPECIALTY AGENCIES (SUCH AS AGENCIES THAT SELL INFORMATION ABOUT CHECK  
WRITING  
HISTORIES, MEDICAL RECORDS, AND RENTAL HISTORY RECORDS). HERE IS A SUMMARY  
OF

YOUR MAJOR RIGHTS UNDER THE FCRA. FOR MORE INFORMATION, INCLUDING  
INFORMATION

ABOUT ADDITIONAL RIGHTS, GO TO WWW.FTC.GOV/CREDIT OR WRITE TO: CONSUMER  
RESPONSE CENTER, ROOM 130-A, FEDERAL TRADE COMMISSION, 600 PENNSYLVANIA AVE.  
N.W., WASHINGTON, D.C. 20580.

\* YOU MUST BE TOLD IF INFORMATION IN YOUR FILE HAS BEEN USED AGAINST YOU.\*

-----

--

ANYONE WHO USES A CREDIT REPORT OR ANOTHER TYPE OF CONSUMER REPORT TO DENY  
YOUR  
APPLICATION FOR CREDIT, INSURANCE, OR EMPLOYMENT - OR TO TAKE ANOTHER ADVERSE  
ACTION AGAINST YOU - MUST TELL YOU, AND MUST GIVE YOU THE NAME, ADDRESS, AND  
PHONE NUMBER OF THE AGENCY THAT PROVIDED THE INFORMATION.

\* YOU HAVE THE RIGHT TO KNOW WHAT IS IN YOUR FILE.\*

-----

--

YOU MAY REQUEST AND OBTAIN ALL THE INFORMATION ABOUT YOU IN THE FILES OF A  
CONSUMER REPORTING AGENCY (YOUR "FILE DISCLOSURE"). YOU WILL BE REQUIRED TO  
PROVIDE PROPER IDENTIFICATION, WHICH MAY INCLUDE YOUR SOCIAL SECURITY NUMBER.  
IN MANY CASES, THE DISCLOSURE WILL BE FREE. YOU ARE ENTITLED TO A FREE FILE  
DISCLOSURE IF:

- \* A PERSON HAS TAKEN ADVERSE ACTION AGAINST YOU BECAUSE OF INFORMATION IN  
YOUR CREDIT REPORT
- \* YOU ARE THE VICTIM OF IDENTITY THEFT AND PLACE A FRAUD ALERT IN YOUR  
FILE

17 Ridgeland Drive  
Greenville, SC 29601

November 13, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

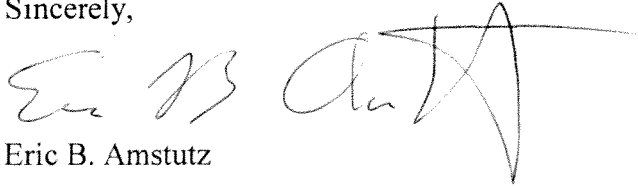
Re: State Ethics Commission Application/Nomination – James I. Warren III

Dear Ladies and Gentlemen of the Senate:

I recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I am an attorney and shareholder with Wyche, P.A. and have practiced law with Jim for over ten years.

Jim is a first rate lawyer with a strong appreciation for ethics. He is open-minded, intelligent, thoughtful, fair and committed to using common sense and ethical principles in the practice of law.

Sincerely,

A handwritten signature in black ink, appearing to read "Eric B. Amstutz". The signature is stylized with a large, sweeping "A" and a long horizontal line extending to the right.

Eric B. Amstutz

# W Y C H E

Attorneys at Law

November 5, 2012

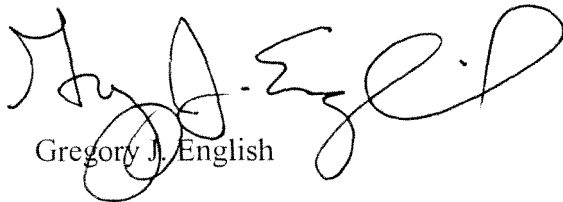
South Carolina Senate  
State House  
Columbia, South Carolina

Re: State Ethics Commission Application/Nomination – James I. Warren III

Dear Ladies and Gentlemen of the Senate:

I recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I have practiced law with Jim for over ten years. I consider him a great lawyer with a strong appreciation for ethics. He is open-minded, fair and committed to reaching common sense solutions in following the law.

Sincerely,



Gregory J. English

(864) 242-8247  
[genglish@wyche.com](mailto:genglish@wyche.com)

GJE/sc

W Y C H E  
PROFESSIONAL ASSOCIATION

44 East Camperdown Way, Greenville, SC 29601-3512  
p: 864.242.8200 | f: 864.235.8900  
[www.wyche.com](http://www.wyche.com)

# W Y C H E

Attorneys at Law

November 8, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

Re: State Ethics Commission Application/Nomination – James I. Warren III

Dear Ladies and Gentlemen of the Senate:

I highly recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I have had the pleasure of practicing law with Jim for over ten years. He is a man of integrity, intelligence and commitment to doing things the right way. He is a well respected lawyer and has received many accolades from his peers in the legal profession. He is open-minded, fair and committed to using common sense in the practice of law. Jim will be a tremendous benefit to the State Ethics Commission.

Sincerely,



Terrell W. Mills

(864) 242-8382  
[tmills@wyche.com](mailto:tmills@wyche.com)

TWM:jcb

W Y C H E  
PROFESSIONAL ASSOCIATION

44 East Camperdown Way, Greenville, SC 29601- 3512  
p: 864.242.8200 | f: 864.235.8900  
[www.wyche.com](http://www.wyche.com)

# W Y C H E

Attorneys at Law

November 9, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

Re: *State Ethics Commission Application/Nomination – James I. Warren III*

Dear Ladies and Gentlemen of the Senate:

It is my pleasure to recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I have practiced law with Jim for over ten years. During that time I have come to know Jim very well, and I have the highest regard for his ability, judgment, and ethical sense. Jim is an excellent lawyer; he also understands the importance of ethics in our government, and in all facets of life. Jim is fair-minded and deliberate, and will bring experience, good judgment, and common sense to his work for the Ethics Commission, as he does in his law practice.

Jim is an exceptional individual, and I am confident he will do a superb job on the Commission.

Sincerely,



J. Theodore Gentry  
(864) 242-8270  
tgentry@wyche.com

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PROFESSIONAL ASSOCIATION

44 East Camperdown Way, Greenville, SC 29601- 3512  
p: 864.242.8200 | f: 864.235.8900  
www.wyche.com





November 6, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

Re: State Ethics Commission Application/Nomination – James I. Warren, III

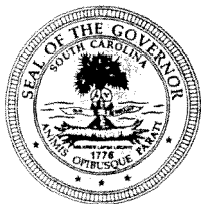
Dear Ladies and Gentlemen of the Senate,

It is my pleasure to provide a reference for James I. Warren III. His banking relationship with The Palmetto Bank has been for over 15 years and he has maintained his accounts in a sound, professional manner.

Sincerely,

Earle T. Harding  
Executive Vice President

cc: James I. Warren III



Office of the Governor  
State of South Carolina

Application  
Boards, Commissions, and Committees

Your nomination **will not** be complete until this application is filed with the Office of Boards and Commissions, 1205 Pendleton Street, Columbia, South Carolina 29201.

1] Your Name:

Dr./Mr/Mrs./Ms. Warren III James Ivey  
Last First Middle

2] Name of Board, Commission, or Committee you are being considered for:

State Ethics Commission

3] Your Current Address, City, Zip and County:

Your Congressional District: 4<sup>th</sup>

119 Meyers Drive, Greenville, 29605, Greenville

4] Home Telephone: 864-250-0620 5] Office Telephone: 864-242-8320 6] Fax: 864-235-8900

7] Mobile Telephone: 864-230-0161 8] Email Address: jwarren@wyche.com

9] Drivers License #: [REDACTED] 10] Social Security #: [REDACTED]

11] Voter Registration #: [REDACTED] 12] Date of Birth: [REDACTED]

13] Race: Caucasian 14] Sex: (Male) Female

15] Level of Educational Background Completed:

Some High School \_\_\_\_\_  
High School graduate or equivalence (G.E.D.) \_\_\_\_\_  
Some College \_\_\_\_\_  
College graduate ✓  
Professional degree (please specify) J.D.

16] Present Employer Wyche, P.A.

Address 44 East Camperdown Way, Greenville, SC 29601

Current Position Member of Law Firm

17] Years of residence in South Carolina: 16

18] Have you ever been arrested for a crime other than a minor traffic violation? No If so, give details\*

19] Have you filed state and federal income tax returns for the past five years? Yes If not, give details\*


20] Are you or any company in which you have a controlling interest delinquent in any local, state or federal taxes? No If so, give details\*

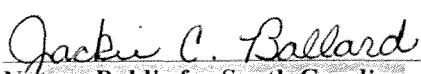
- 21] Have you ever defaulted on any state or federal student loan? No If so, give details\*
- 22] Have you been treated for any alcohol, drug addiction, or substance abuse for the preceding five years? No If so, give details.\*
- 23] Have you been party (plaintiff or defendant) in any state or federal litigation for the preceding five years? No If so, give details.\*
- 24] Have you ever served in the military? No  
Were you honorably discharged? \_\_\_\_\_ If not, give details.\*
- 25] Have you ever been terminated from any employment for cause? No If so, give details.\*
- 26] Have you or any employer for the preceding ten years been investigated, reprimanded, fined, or suspended for doing business with any state or federal agency? No If so, give details\*
- 27] Do you have any interest in any business that has, is, or will do business with the State of South Carolina or the entity for which you are applying? Yes/Maybe If so, give details.\* See Attachment #1
- 28] Do you serve on any local or state board, commission, committee, or elected office? No If so, list.\*
- 29] Are you a registered lobbyist in the State of South Carolina? No
- 30] Have you ever been disciplined or fined by the State Ethics Commission? No If so, give details.\*
- 31] Have you ever been disciplined or fined by any professional or regulatory agency? No If so, give details.\*
- 32] I hereby agree to attend the stated or called meetings of this entity to which I may be appointed and further agree that should I miss:  
A. Three consecutive meetings or,  
B. Half of the meetings within a six month period,  
Unless excused by the Chair prior to the meeting, for reasons beyond my control (illness, death in the family, etc.), I will resign my appointment.

\* Use extra sheet if necessary.

### **CERTIFICATION OF APPLICANT**

Personally appeared before me, the applicant, who being duly sworn, disposed, and says that all his/her statements are true, accurate and complete: and that he/she knows and agrees that any misrepresentation or omission of the facts may result in his/her being disqualified or being discharged should he/she already be appointed by the Governor. He/she authorizes the State Law Enforcement Division to conduct a background investigation, including but not limited to a criminal history, driving record and credit check. He/she also authorizes the Governor's Office to provide the nominating authorities with copies of this application, the criminal history and credit report and any other information gathered in processing this appointment.

  
Applicant's Signature - James I. Warren III

Sworn and subscribed before me this 27<sup>th</sup> day of November,  
Two Thousand and Twelve  
  
Notary Public for South Carolina

My commission expires 4-21-2013

**Attachment #1**

Applicant: James I. Warren III

27] Details Regarding Question 27

I am a member of Wyche, P.A. ("Wyche"), a law firm. Wyche, from time to time, has, does or may in the future represent the State of South Carolina, departments of the State of South Carolina (e.g. DHEC) or political subdivisions of the State of South Carolina (e.g. a county).

Additionally, Wyche owns Camperdown Title Services, Inc. ("Camperdown Title"). Camperdown Title is licensed by the South Carolina Department of Insurance. I am President of Camperdown Title, and I hold a title insurance license which is issued by the South Carolina Department of Insurance.

*STATE ETHICS COMMISSION*  
STATEMENT OF ECONOMIC INTERESTS FORM

**PLEASE READ ALL INSTRUCTIONS BEFORE COMPLETING THIS FORM**

THE STATEMENT OF ECONOMIC INTERESTS FORM IS TO BE FILED:

- (1) PRIOR TO TAKING THE OATH OF OFFICE OR ENTERING UPON THE RESPONSIBILITIES OF THE POSITION
- (2) CANDIDATES FILE AT THE TIME OF BECOMING A CANDIDATE
- (3) ANNUALLY, THEREAFTER, PRIOR TO APRIL 15

STATE SENATORS AND CANDIDATES FOR STATE SENATE

SENATE ETHICS COMMITTEE  
P. O. Box 142  
Columbia, SC 29202

STATE REPRESENTATIVES AND CANDIDATES FOR STATE REPRESENTATIVE

HOUSE ETHICS COMMITTEE  
P. O. Box 11867  
Columbia, SC 29211

ALL OTHER ELECTED OFFICIALS (including Probate Judges)  
PUBLIC MEMBERS AND PUBLIC EMPLOYEES

STATE ETHICS COMMISSION  
5000 Thurmond Mall, Suite 250  
Columbia, SC 29201

CANDIDATES FOR PUBLIC OFFICE

**NOTE:** All Candidates must also file a  
Campaign Disclosure Form.

With the party official or other  
designated official authorized to receive  
a notice of candidacy or petition to  
appear on the election ballot

THE FOLLOWING DESIGNATED OFFICIALS, MEMBERS OR EMPLOYEES, BY WHATEVER TITLE:

1. A person appointed to fill the unexpired term of an elective office;
2. Employees of regulatory agencies who are associated with a regulated business;
3. A member of a state board, commission, or agency;
4. A compensated member of a local board, commission, or agency;
5. The chief administrative official or employee and deputy or assistant administrative official or employee or director of a division, institution, or facility of any agency or department of state government;
6. The city administrator, city manager, or chief municipal administrative official or employee, by whatever title;
7. The county manager, county administrator, county supervisor, or chief county administrative official or employee, by whatever title;
8. The chief administrative official or employee of each political subdivision including, but not limited to, school districts, libraries, regional councils, airport commissions, hospitals, community action agencies, water and sewer districts, and development commissions;
9. A school district and county superintendent of education;
10. A school district board member and a county board of education member;
11. The chief finance official or employee and the chief purchasing official or employee of each agency, institution, or facility of state government, and of each county, municipality, or other political subdivision including, but not limited to, those named in Item (7).
12. All Public Officials.

**NOTE: KEEP A COPY OF THIS FORM FOR FOUR (4) YEARS.**

**\$100 PER DAY PENALTY IF  
FILED LATE**

STATEMENT OF ECONOMIC INTERESTS  
GENERAL INSTRUCTIONS

ADDITIONAL INFORMATION - Candidates must provide the completed form to the election official, or other person designated to receive the declaration of candidacy or petition to appear on the election ballot. Within five (5) days after the filing books close, the election official must send an original and one copy, along with a candidate's roster, to the appropriate supervisory office. Upon receipt of the copies, the appropriate supervisory office will certify to the election official that the candidate has met the filing requirement and may properly have his name appear on the election ballot.

Annual reports must be filed with the appropriate supervisory office.

A copy of the completed form is provided by the supervisory office to the Clerk of Court in the county of the candidate's residence. In the Clerk of Court's office, as well as in the supervisory office, the filing becomes a matter of public record, open to public inspection upon request.

Faxed copies of this form will not be accepted. The originals must be received no later than 5:00 p.m. on the date of the established deadline.

Keep a copy of this form for four (4) years. A late filing penalty of **\$100 per day WILL** be assessed if the form is not received within five (5) days of the established deadline.

If more than one category in the filing information chart applies, a completed Statement of Economic Interests Form must be filed with each appropriate filing office.

Please type or print all responses. Incomplete or illegible statements may be returned for resubmission. Additional information concerning any section of this statement may be included by attaching supplemental sheets. Number and date all supplemental attachments. Each statement requires information to be reported for the prior calendar year, regardless of when the form is completed. All disclosure statements are a matter of public record, open to public inspection upon request.

**CANDIDATES ONLY:**

**NOTE: ALL CANDIDATES MUST ALSO FILE A CAMPAIGN DISCLOSURE FORM.**

**A CAMPAIGN DISCLOSURE FORM MUST BE FILED AT LEAST FIFTEEN DAYS BEFORE EACH ELECTION, EVEN IF NO MONEY IS RAISED OR SPENT. AN INITIAL REPORT MUST ALSO BE FILED WITHIN TEN DAYS AFTER SPENDING OR RECEIVING \$500, EVEN IF THE MONEY PROVIDED IS SOLELY THE CANDIDATE'S OWN FUNDS. AFTER THE CANDIDATE FILES THE INITIAL FORM, A CAMPAIGN DISCLOSURE FORM MUST BE FILED WITHIN 10 DAYS AFTER THE END OF EACH CALENDAR QUARTER. THE QUARTERLY REPORTS MUST BE FILED UNTIL A FINAL REPORT IS FILED (i.e., NO MONEY IN THE CAMPAIGN ACCOUNT AND NO UNPAID DEBTS).**

**IF THE REPORTS ARE NOT FILED OR IF THE FORMS ARE LATE, A LATE FILING PENALTY, OF \$100 PER DAY, WILL BE LEVIED.**

**ALL CANDIDATES MUST OPEN A SEPARATE CHECKING OR SAVINGS ACCOUNT, UNLESS THE FILING FEE IS THE ONLY EXPENSE AND IT IS PAID FROM PERSONAL FUNDS.**

INSTRUCTIONS FOR PAGE 1

SOCIAL SECURITY NUMBER - This information is required for administrative purposes, only for positive identification of the filer, and will not be released to the public.

STATE ETHICS COMMISSION  
STATEMENT OF ECONOMIC INTERESTS FORM

Name of Candidate or Filer: Last Name, First Name, Middle Initial Mr. (✓) Mrs. ( ) Ms. ( )

W A R R E N J A M E S I

Mailing Address:

1 1 9 M e y e r s D r i v e

City:

G R E E N V I L L E

State:

S C

Zip:

2 9 6 0 5

Phone:

8 6 4 - 2 4 2 - 8 3 2 0

The following information is required for administrative purposes, only for positive identification of the filer, and will not be released to the public.

Social Security Number:



NOTE:

PLEASE COMPLETE THIS ENTIRE REPORT IN **BLUE** OR **BLACK** INK, OR **TYPE**.**DO NOT USE PENCIL****KEEP A COPY FOR YOUR RECORDS****\$100 PER DAY PENALTY IF FILED LATE**



STATEMENT OF ECONOMIC INTERESTS  
INSTRUCTIONS FOR PAGE 2

1. Indicate whether you have ever filed a Statement of Economic Interests Form: yes or no
2. NAME - Indicate your full name. If you are commonly known by some other name, please indicate the name or nickname.
3. COUNTY OF RESIDENCE - Identify the name of the county where you legally reside. A copy of this form will be provided to the Clerk of Court in the county of residence.
4. ADDRESS - Indicate your full mailing address.
5. PHONE - Indicate a daytime telephone number where you can be reached.
- 6 & 7 - STATUS - Current and sought - Enter as many status numbers as apply to all position(s) currently held or sought.  
POSITION TITLE(S) AND AGENCY(S) - Identify the title of each position which you presently hold with public agencies in South Carolina at the time of filing. Incumbent officeholders indicate the name of the position and agency on line (a). If a second position is held, indicate that position and agency on line (b). Candidates indicate the name of the position and agency which is being sought.  
TERM(S) OF OFFICE - Enter the month and year of both the beginning and ending dates of the term if you are presently elected. Enter the month and year of the beginning and ending of the term that you are seeking if you are a candidate for elective office. Complete both sections if you are both an elected official and a candidate, whether for the same or a different office.
8. DATE OF HIRE OR DATE OF APPOINTMENT - (Employees and Appointed Officials Only) - Indicate the month and year of hire or appointment by the agency(s) with which you are currently serving.
9. CANDIDATES ONLY: DATE FILED AS A CANDIDATE - Indicate the month, day, and year when you filed the declaration of candidacy or petition to appear on the election ballot.
10. ELECTION DATE - Indicate the month, day, and year of the primary, general, and/or other election for the office for which you are a candidate.
11. **A SEPARATE CAMPAIGN DISCLOSURE FORM MUST BE FILED BY ALL CANDIDATES WITHIN 10 DAYS AFTER SPENDING OR RECEIVING \$500, 15 DAYS PRIOR TO EACH ELECTION, AND 10 DAYS AFTER THE END OF EACH CALENDAR QUARTER. ALL CANDIDATES MUST OPEN A SEPARATE CHECKING OR SAVINGS ACCOUNT, UNLESS THE FILING FEE IS THE ONLY EXPENSE AND IT IS PAID FROM PERSONAL FUNDS.**

**CERTIFICATION** - Sign and date the form, verifying that the information that you have provided is true, complete and correct to the best of your knowledge.

**NOTE:** Items 13-21 must indicate a response. If the item applies, complete according to instructions. If the item does not apply to you, check the "None" block. If these items are not completed, the form will be returned for completion. All responses must be for the prior calendar year, regardless of when the form is completed.

**E5A.1 STATE ETHICS COMMISSION-STATEMENT OF ECONOMIC INTERESTS FORM** pg. 2 of 4

PRINT IN BLACK OR BLUE INK, OR TYPE (DO NOT USE PENCIL)

1. Have you previously filed this form? ☒ Yes ☐ No

2. County of Residence: GREENVILLE

3. Name: (Last-First-Middle Initial) WARREN JAMES I

4. Mailing Address: 119 MEYERS DRIVE

City: GREENVILLE State: SC

Zip: 29605 5. Phone: 864-242-8320

	*Status	Position, Title, and Agency (If House or Senate, include District #)	Term of Office (mo/yr)
6. Current	N/A	(a) _____	From _____ To _____
7. Sought	1	(b) STATE ETHICS COMMISSION	From _____ To _____

\*Status: 1. Appointed 2. Candidate 3. Employee 4. Elected 5. Employee/Regulated Business Association

8. Date of Hire or Appointment (mo-yr): N/A Unless Appointed

**CANDIDATES ONLY - N/A**

9. Date filed as a candidate (mo/da/yr)

10. Election Date(s) (mo/da/yr) Primary \_\_\_\_\_ General \_\_\_\_\_ Special \_\_\_\_\_

11. **NOTE: ALL CANDIDATES MUST ALSO FILE A CAMPAIGN DISCLOSURE FORM. A CAMPAIGN DISCLOSURE FORM MUST BE FILED AT LEAST FIFTEEN DAYS BEFORE EACH ELECTION, EVEN IF NO MONEY IS RAISED OR SPENT. AN INITIAL REPORT MUST ALSO BE FILED WITHIN TEN DAYS AFTER SPENDING OR RECEIVING \$500, EVEN IF THE MONEY PROVIDED IS SOLELY THE CANDIDATE'S OWN FUNDS. AFTER THE CANDIDATE FILES THE INITIAL FORM, A CAMPAIGN DISCLOSURE FORM MUST BE FILED WITHIN 10 DAYS AFTER THE END OF EACH CALENDAR QUARTER. THE QUARTERLY REPORTS MUST BE FILED UNTIL A FINAL REPORT IS FILED (i.e., NO MONEY IN THE CAMPAIGN ACCOUNT AND NO UNPAID DEBTS).**

**IF THE REPORTS ARE NOT FILED OR IF THE FORMS ARE LATE, A LATE FILING PENALTY, OF \$100 PER DAY, WILL BE LEVIED.**

**ALL CANDIDATES MUST OPEN A SEPARATE CHECKING OR SAVINGS ACCOUNT, UNLESS THE FILING FEE IS THE ONLY EXPENSE AND IT IS PAID FROM PERSONAL FUNDS.**

12. **CERTIFICATION:** I certify that the contents of this statement are true, correct, and complete to the best of my knowledge and belief. I understand that if this statement is not received within five (5) days of the deadline, a late filing penalty will be levied.

Date: 11/27/12 Signature: [Signature]

FOR OFFICE USE ONLY:  
☐ COMPLETE ☐ INCOMPLETE  
☐ ENTERED ☐ SCANNED

**FAXED COPIES WILL NOT BE ACCEPTED**  
 The original must be received no later than 5:00 p.m. on the date of the established deadline.

**NOTE: PLEASE PROVIDE ONE ORIGINAL AND ONE COPY OF THIS FORM TO THE APPROPRIATE SUPERVISORY OFFICE, AND KEEP A COPY FOR YOURSELF.**

STATEMENT OF ECONOMIC INTERESTS  
INSTRUCTIONS FOR PAGE 3

13. **INCOME AND BENEFITS** - Indicate the source, type, amount and/or value of income received by you or a member of your immediate family from state and local agencies in South Carolina during the prior calendar year. Generally, this amount is the same as the gross amount reported on your W-2 form. Any benefits not available to all employees or officials must be disclosed. Source refers to the public agency providing the income, compensation, or benefit. Type indicates the nature of the income or benefit (i.e., compensation, use of publicly-owned vehicle, residence, travel allowance, insurance, etc.) The amount, when known, should be disclosed. An amount does not need to be disclosed concerning permanent assignment of a vehicle or residence. State retirement does not need to be disclosed.

14. **REGULATED BUSINESS ASSOCIATION(S)** - Employees of regulatory agencies associated with businesses regulated by the agency must indicate the name(s) of all such businesses and how they are associated with that business. Disclose how that business is regulated by the regulatory agency.

15. **REAL OR PERSONAL PROPERTY INTERESTS** - Real estate interests held by you or a member of your immediate family in South Carolina must be disclosed (a) if the interest can be reasonably expected to be a conflict of interest with your public position, (b) if there have been public improvements (i.e., addition of sidewalks, road paving, water and/or sewer service, etc.) of more than \$200 on this or adjoining property, or (c) if the property has been sold, leased, or rented to a state or local public agency in South Carolina. Describe the nature of the property (i.e., residence, farm acreage, beach house), its physical location, and its market value. Identify the nature of the potential conflict of interest. Describe the nature and value of any public improvements. Identify the agency(s) which purchased, leased, or rented property from you. A copy of the sales contract or lease or rental agreement must be attached to this form.

Identify any personal property sold, leased, or rented by you or a member of your immediate family to a state or local public agency in South Carolina. Identify the type of property and the name of the agency(s) involved in the transaction(s) as well as the amount of value of the transaction(s). A copy of the sale contract, lease, or rental agreement must be attached to this form.

16. **BUSINESS INTERESTS** - Identify every business or entity in which you or a member of your immediate family held or controlled, in the aggregate, securities or interests constituting five percent or more of the total issued and outstanding securities and interests which constitute a value of \$100,000 or more. Identify your relationship to that business (officer, stockholder of more than \$100,000).

# SEC STATEMENT OF ECONOMIC INTERESTS

pg. 3 of 4

E5A.2

(ALL RESPONSES MUST BE FOR THE PRIOR CALENDAR YEARS)

## 13. INCOME AND BENEFITS FROM STATE AND LOCAL AGENCIES IN SOUTH CAROLINA (Check if none ☒)

Source	Type	Amount/Value

## 14. REGULATED BUSINESS ASSOCIATIONS (Check if none ☐)

Name of Business	Relationship	Source of Regulatory Involvement
Wyche, PA	Member	SC Supreme Court
Camperdown Title Services, Inc.	President	SC Dept. of Insurance

## 15. REAL OR PERSONAL PROPERTY INTERESTS (Check if none ☒)

Description	Value	Location

Nature and Value of Improvements \_\_\_\_\_

Nature of Potential Conflict of Interest \_\_\_\_\_

Agency Purchasing, Leasing, or Renting the Property\*

\*A copy of the contract, lease, or rental agreement must be attached to this form.

## 16. BUSINESS INTERESTS (Check if none ☒)

Name of Business	Relationship

STATEMENT OF ECONOMIC INTERESTS  
INSTRUCTIONS FOR PAGE 4

17. CREDITORS - List by name and address, each creditor to whom you or any member of your immediate family owed a debt in excess of \$500 at any time during the reporting period if the credit or loan is from some person which is regulated by the agency with which you are associated or from some person which is seeking a business or financial relationship with the agency with which you are associated. Disclose the original amount of the debt and the amount outstanding as of the end of the reporting period. Do not disclose amounts on credit cards or retail installment contracts. Also, do not disclose debt promised or loaned by a bank, savings and loan or other licensed financial institution which loans money in the ordinary course of business and on terms and interest rates generally available to a member of the general public, without regard to status as a public official, public member, or public employee. Debt promised or loaned by a family member is not disclosed, if the person who promises or makes the loan is not acting as your agent or intermediary to a financial institution. Disclose the rate of interest charged on any reportable debt, the original amount and the outstanding balance.

18. LOBBYISTS - Identify the name and relationship of any lobbyist who is an immediate member of your family or an individual or business with which you or a member of your immediate family is associated. Identify any lobbyist or lobbyist's principal who has purchased goods or services of more than \$200 from you, a member of your immediate family, or an individual or business with which you are associated. Identify the type of goods or services purchased, the amount, from whom the material was purchased and your relationship to that person or business.

19. GOVERNMENT CONTRACTS - Identify each individual or business from which you receive compensation, if that individual or business also contracts with the governmental entity with which you serve or which employs you. Report the name and address of that individual or business and the amount of compensation paid to you by that individual or business. Identify further your relationship to that individual or business, the nature and amount of the contract, and the public agency involved in the contract.

20. GIFTS - The source and a brief description of any gifts, including transportation, lodging, food, or entertainment, received during the preceding calendar year from: (a) a person, if there is reason to believe the donor would not give the gift, gratuity, or favor but for your office or position; or (b) a person, or from an officer or director of a person, if you have reason to believe the person: (i) has or is seeking to obtain contractual or other business or financial relationship with your agency; or (ii) conducts operations or activities which are regulated by your agency if the value of the gift is \$25 or more in a day or if the value totals, in the aggregate, \$200 or more in a calendar year. Identify the type of gift, its value, as well as the donor and your relationship to that donor. Use this space to disclose travel expenses paid or reimbursed pursuant to Section 8-13-715.

21. MEMBERS OF THE GENERAL ASSEMBLY AND CANDIDATES FOR THE GENERAL ASSEMBLY ONLY - Identify any person represented for compensation, before any governmental entity by you, an individual with whom you are associated, or a business with which you are associated. Disclose the nature of the services rendered in such representation and the nature of any contacts made with governmental agencies regarding such representation. Fees earned for such representations must be fully disclosed. Matters of representation required by law or before courts in the unified judicial system do not require disclosure.

NOTE: You are not required to disclose economic interest information concerning:

- (1) a spouse separated from you by court order;
- (2) a former spouse;
- (3) a campaign contribution that is permitted and reported under Article 13; or
- (4) matters determined to require confidentiality pursuant to Section 2-17-90 (E).

## SEC STATEMENT OF ECONOMIC INTERESTS

pg. 4 of 4

## E5A.3

17. CREDITORS (Check if none ☒)

Name and Address of Creditor	Rate of Interest	Original Amount	Outstanding Amount

18. LOBBYISTS (Check if none ☒)

(a) Name of Lobbyist	Relationship or Association

(b) Name of Lobbyist	Goods/Service Purchased	Amount	Purchased From	Relationship

19. GOVERNMENT CONTRACTS (Check if none ☒)

Contractor Name and Address	Relationship	Nature of Business	Amount	Agency

20. GIFTS (Check if none ☒)

Nature of Gift	Value	Donor	Relationship

21. MEMBERS OF AND CANDIDATES FOR THE GENERAL ASSEMBLY ONLY (Check if none ☐)

N/A

Person Represented	Services Rendered	Nature Contact w/Gov. Agency	Fees Earned

## **CONTACT NUMBERS**

For questions, call: 803/253-4192

or

**Visit the State Ethics Commission  
or copy additional forms at:**

<http://www.state.sc.us/ethics>

### **State Ethics Commission Commissioners**

Gregory P. Harris, Chairman  
Kenneth C. Krawcheck, Member at Large, Vice-Chairman  
Marvin Infinger, 1<sup>st</sup> District  
Edward Duryea, 2<sup>nd</sup> District  
John L. Cannon, 3<sup>rd</sup> District  
Pete G. Diamaduros, 4<sup>th</sup> District  
Duane G. Hansen, 5<sup>th</sup> District  
Vacant, 6<sup>th</sup> District  
Flynn T. Harrell, Member at Large

*Executive Director, Herbert R. Hayden, Jr.*  
*Publication Editor, Marjorie A. DeLee*

## Addendum to Question 34 of the Senate Personal Data Questionnaire

Question 34 asks for a list of five individuals willing to provide letters of reference. These letters are required by the Senate before they will consider a nomination. It is the responsibility of the nominee to contact and request a letter of reference from each individual and include the letters with the application materials when they are mailed.

### Tips and Guidelines for Letters of Reference:

1. *It is required by the Senate that one letter come from your banker.* This requirement is somewhat outdated in that, in an era of ATM's and online banking, a good number of people do not have a direct personal relationship with a bank employee anymore. A letter from a branch manager or account manager stating that the banking relationship is sound and that accounts are in good standing will suffice.

2. *Try to get letters from as many different perspectives as possible.* Avoid requesting letters from the same type of individual. For example, letters from a colleague from work, a pastor or fellow church member, a fellow member of a civic or community organization, and a longtime neighbor would give a well rounded perspective of a nominee's involvement in the community. Letters from a nominee's attorney, insurance agent, doctor, or personal friends are also acceptable— anyone with whom the nominee has a longstanding relationship. It is even better if they are a prominent member of the community.

3. *Letters should be addressed to the South Carolina Senate in the following manner:*

South Carolina Senate  
State House  
Columbia, South Carolina

Dear Ladies and Gentlemen of the Senate,

4. *Length and content.* Letters should be brief – one page or shorter. Letters should let the Senate know who the author is, the author's relationship with the nominee, how long the author has known the nominee, and any other relevant information necessary to provide a good reference.

5. *Nominees are responsible for collecting letters of reference.* Nominees should ask that letters of reference be mailed or delivered directly to them. Once all letters are collected, they should be mailed to the Governor's Office with the rest of the application materials.

**\*\*\*Please note: Letters need to be included in your complete application packet, which is returned to the Governor's office. \*\*\***



SENATE CONFIRMATION  
CONFIDENTIAL PERSONAL DATA QUESTIONNAIRE

NOTICE: The information requested herein is needed to assist the Senate in its screening of candidates. This document is made available to and used by the appropriate Committee of jurisdiction and is not made public. Since this questionnaire is the initial step in the appointment and confirmation process, it should be returned to the Governor's Office as soon as possible. Please use additional sheets as necessary to complete this document.

Office or Seat to which you are being appointed: State Ethics Commission

1. NAME: Mr. James I Warren III  
Ms.

HOME ADDRESS: 119 Meyers Drive, Greenville, SC 29605

BUSINESS ADDRESS: 44 East Camperdown Way, Greenville, SC 29601

TELEPHONE NUMBER: (home): 864-250-0620  
(office): 864-242-8320

RESIDE IN SENATE DISTRICT#: 8 CONGRESSIONAL DISTRICT#: 4th

2. Date and Place of Birth: [REDACTED] Social Security #: [REDACTED]  
Raleigh, NC
3. Are you a citizen of South Carolina? Have you been a resident of this state for at least the immediate past 5 years? Yes, as to both
4. SCDL# or SCHD#: [REDACTED] Voter Registration Number: [REDACTED]
5. Family Status: Are you  
single ( );  
married (✓);  
widowed ( ); or  
divorced ( )?
- (a) If married, state the date of your marriage and your spouse's full name.  
South Carolina; 7/17/93; Allison Betette Warren
- (b) If you have ever been divorced, state the date, name of the moving party, court, and grounds.  
N/A

- (c) State the names of your children and their ages. If your children are old enough to work, include the occupation of each child.

<u>Name</u>	<u>Age</u>
James I. Warren IV	17
Sarah J. Warren	15
Russell P. Warren	10

6. Have you ever served in the military? If so, give the dates, branch of service, highest rank attained, serial number, present status, and the character of your discharge or release.

No

7. List each college and graduate or professional school you attended, including the dates of your attendance, the degrees you received, and if you left an institution without receiving a degree, the reason for your departure.

A. Rhodes College (F/K/A Southeastern at Memphis) - Sept. 1980 - Dec. 1980  
Transferred to Duke University

B. Duke University - Jan. 1981 - May 1984, A.B. Degree

C. Vanderbilt University - Sept. 1988 - May 1991, J.D. Degree

8. List the states in which you have been licensed and/or admitted to a professional practice and the year of each license and/or admission. Also, list any states in which you took a professional license exam, but were never admitted to the practice. If you took an exam more than once in any of the states listed please indicate the number of times you took the exam in each state.

A. Georgia - took Bar Exam once; passed in 1991

B. South Carolina - took Bar Exam once; passed in 1997

C. South Carolina - licensed title insurance agent; took test once; passed in 1997

D. Notary Public for State of South Carolina

9. List the significant activities in which you took part during your attendance at college, graduate, and/or professional school. Give the dates you were involved in these activities and list any leadership positions you held.

Clerked for Judge Haynes (Circuit Court Judge in Nashville, TN) during third year of law school (Sept. 1990 - May 1991)

10. Briefly describe any continuing education during the past five years.

I have taken at least the minimum number of CLE hours each year since 1992 to maintain my law licenses.

11. List all published books and articles you have written and give citations and dates of publication for each.  
Wrote chapter entitled "Commercial Leasing Under South Carolina Law" printed in SC Bar Association book on SC Commercial Real Estate released/printed in November, 2012.

12. If an attorney, list all courts in which you have been admitted to practice and list the dates of your admission. Give the same information for administrative bodies which require a special admission to practice.  
I am a transactional attorney and do not practice before any courts or administrative bodies. A portion of my practice is devoted to economic development work and from time-to-time I appear before various county councils in the State of South Carolina.

13. Have you ever held public office? If so, list the periods of your service, the office or offices involved, and whether you were elected or appointed.

No

14. Have you ever been an unsuccessful candidate for elective, judicial, or other public office? If so, give details, including dates.

No

15. Since completing your education, list any occupation, business, or profession in which you have been engaged other than holding public office. Give details, including a description of your occupation, business, or profession, the dates of your employment, and the name of your business or employer.

<u>Occupation</u>	<u>Employer</u>	<u>Dates of Employment</u>
Lawyer	Troutman Sanders, LLP	09/1991 - 09/1996
Lawyer	Wyche, PA	09/1996 - Present

16. Are you now an officer or director or involved in the management of any business enterprise? Explain the nature of the business, your duties, and the term of your service.

1. Member of Wyche, PA, a South Carolina Law Firm
2. Member/Manager of Jural Partners, LLC, a company that owns commercial real estate in Greenville, SC
3. President, Camperdown Title Services, Inc., a wholly-owned subsidiary of Wyche, PA

17. Provide a complete, current financial net worth statement that itemizes in detail:
- a) the identity and value of all financial assets held, directly or indirectly, including, but not limited to, bank accounts, real estate, trusts, investments, and other financial holdings

See attached financial statement

- b) the identity and amount of each liability owed, directly or indirectly, which is in excess of \$1,000, including, but not limited to, debts, mortgages, loans, and other financial obligations.

See attached financial statement

A sample net worth statement is provided with this questionnaire for your convenience. You may use any other comparable form if it was prepared within the past six months.

18. Describe any financial arrangements or business relationships which you have, or have had in the past, that could constitute or result in a possible conflict of interest in the position you seek. Explain how you would resolve any potential conflict of interest.

My law firm represents various clients. It is our standard practice to run a conflict check for new clients/new matters. If appointed, I would circulate Ethic Commission's agenda to other attorneys in the firm for conflict/appearance of conflict purposes and abstain from any agenda item which could pose a conflict/appearance of conflict.

19. Have you ever been arrested, charged, or held by federal, state, or other law enforcement authorities for violation or for suspicion of violation of any federal law or regulation, state law or regulation or county or municipal law, regulation or ordinance? If so give details but do not include traffic violations for which a fine of \$125 or less was imposed.

No

20. Have federal, state, or local authorities ever instituted a tax lien or other collection procedure against you? Have you ever defaulted on a student loan? Have you ever filed for bankruptcy? If so, give details.

No, to all questions

21. Have you ever been sued, personally or professionally? If so, give details.

No

22. Have you ever been disciplined or sited for unprofessional conduct or a breach of ethics by any court, administrative agency, bar association, disciplinary committee, or other professional group? Have you ever been the subject of a formal complaint, or is there a complaint pending against you before such a group? If so, give the details and describe any final disposition.

No, as to all questions

23. Are you now or have you ever been employed as a "lobbyist," as defined by S.C. Code §2-17-10(14)? If so, give the dates of your employment or activity in such capacity and specify by whom you were directed or employed.

No

24. Since being notified of your possible appointment, have you accepted lodging, transportation, entertainment, food, meals, beverages, money, or any other thing of value as defined by S.C. Code §2-17-10(1) from a lobbyist or lobbyist's principal? If so, please specify the item or items you received, the date of receipt, and the lobbyist or lobbyist's principal involved.

No

25. Itemize (by amount, type, and date) all expenditures, other than those for travel and room and board, made by you, or on your behalf, in furtherance of your candidacy for the position you seek.

None

26. List the amount and recipient of all contributions made by you or on your behalf to the appointing authority or members of the General Assembly within six months of the filing of this questionnaire.

None

27. Have you directly or indirectly requested the pledge of any member of the General Assembly as to your confirmation for the position for which you are being appointed?

No

28. Have you requested a friend or colleague to contact members of the General Assembly on your behalf? If so, give details.

No

29. Have you or has anyone on your behalf solicited or collected funds to aid in the promotion of your candidacy? If so, please specify the amount, solicitor, donor, and date of the solicitation.

No

30. List all professional organizations of which you are a member and give the titles and dates of any offices you have held in such groups.

Greenville County Bar Association - President 2009, VP 2008; Treasurer 2007; Secretary 2006

Urban Land Institute - member for at least past 5 years

Palmetto Land Title Association - member for at least past 5 years

31. List all civic, charitable, educational, social, and fraternal organizations of which you are or have been a member during the past five years and include any offices held in such a group, any professional honors, awards, or other forms of recognition received and not listed elsewhere.

.Saint Matthew United Methodist Church - former Chairperson of Board of Stewards, former member of Board of Trustees, former member of Endowment Committee

.Recognized in Best Lawyers in America and Super Lawyers

32. List any local, county or statewide board, commission, council or other body on which you currently serve which constitutes the holding of an office under the provisions of Article VI, Section 3 of the South Carolina Constitution, to wit:

No person may hold two offices of honor or profit at the same time. This limitation does not apply to officers in the militia, notaries public, members of lawfully and regularly organized fire departments, constables, or delegates to a constitutional convention.

None

33. Provide any other information which may reflect positively or negatively on your candidacy, or which you believe should be disclosed in connection with consideration of appointment to the position that you seek.

Recognized in 2009 by Martindale Hubbell/Lexis Nexis with AV rating - highest rating for legal abilities and ethics

34. List the names, addresses and telephone numbers of five persons, including your banker, who will provide letters of reference. Letters should be *addressed* the South Carolina Senate and **must be mailed with your completed application to: Office of the Governor, ATTN: Madison Walker, 1205 Pendleton Street, Columbia, SC 29201.**

(a) Earle Harding - Palmetto Bank - 306 E. North St., Greenville, SC 29601  
864-255-7967

(b) Eric Amstutz - 17 Ridgeland Dr., Greenville, SC 29601 - 864-242-8201

(c) Gregory J. English - 44 E. Camperdown Way, Greenville, SC 29601  
864-242-8247

(d) Terrell W. Mills - 44 E. Camperdown Way, Greenville, SC 29601  
864-242-8382

(e) J. Theodore Gentry - 44 E. Camperdown Way, Greenville, SC 29601  
864-242-8270

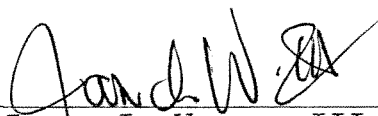
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YOUR SIGNATURE WILL BE HELD TO CONSTITUTE A WAIVER OF THE  
CONFIDENTIALITY OF ANY PROCEEDING BEFORE ANY PROFESSIONAL GRIEVANCE  
COMMITTEE OR ANY INFORMATION CONCERNING YOUR CREDIT.

I HEREBY CERTIFY THAT MY ANSWERS ARE TRUE AND COMPLETE TO THE BEST OF MY  
KNOWLEDGE.

Date: Nov. 27, 2012

Signature: \_\_\_\_\_

  
James I. Warren III





The Palmetto Bank

November 6, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

Re: State Ethics Commission Application/Nomination – James I. Warren, III

Dear Ladies and Gentlemen of the Senate,

It is my pleasure to provide a reference for James I. Warren III. His banking relationship with The Palmetto Bank has been for over 15 years and he has maintained his accounts in a sound, professional manner.

Sincerely,

Earle T. Harding  
Executive Vice President

cc: James I. Warren III

17 Ridgeland Drive  
Greenville, SC 29601

November 13, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

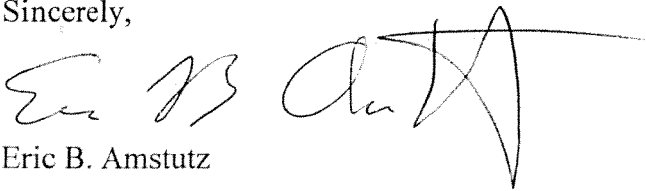
Re: State Ethics Commission Application/Nomination – James I. Warren III

Dear Ladies and Gentlemen of the Senate:

I recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I am an attorney and shareholder with Wyche, P.A. and have practiced law with Jim for over ten years.

Jim is a first rate lawyer with a strong appreciation for ethics. He is open-minded, intelligent, thoughtful, fair and committed to using common sense and ethical principles in the practice of law.

Sincerely,

A handwritten signature in black ink, appearing to read "Eric B. Amstutz", with a large, stylized flourish extending from the end of the signature.

Eric B. Amstutz

W Y C H E

Attorneys at Law

November 5, 2012

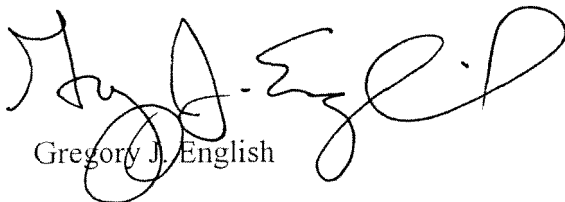
South Carolina Senate  
State House  
Columbia, South Carolina

Re: State Ethics Commission Application/Nomination – James I. Warren III

Dear Ladies and Gentlemen of the Senate:

I recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I have practiced law with Jim for over ten years. I consider him a great lawyer with a strong appreciation for ethics. He is open-minded, fair and committed to reaching common sense solutions in following the law.

Sincerely,



Gregory J. English

(864) 242-8247  
[genglish@wyche.com](mailto:genglish@wyche.com)

GJE/sc

W Y C H E  
PROFESSIONAL ASSOCIATION

44 East Camperdown Way, Greenville, SC 29601- 3512  
p: 864.242.8200 | f: 864.235.8900  
[www.wyche.com](http://www.wyche.com)

# W Y C H E

Attorneys at Law

November 8, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

Re: State Ethics Commission Application/Nomination – James I. Warren III

Dear Ladies and Gentlemen of the Senate:

I highly recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I have had the pleasure of practicing law with Jim for over ten years. He is a man of integrity, intelligence and commitment to doing things the right way. He is a well respected lawyer and has received many accolades from his peers in the legal profession. He is open-minded, fair and committed to using common sense in the practice of law. Jim will be a tremendous benefit to the State Ethics Commission.

Sincerely,



Terrell W. Mills

(864) 242-8382  
[tmills@wyche.com](mailto:tmills@wyche.com)

TWM:jcb

W Y C H E  
PROFESSIONAL ASSOCIATION

44 East Camperdown Way, Greenville, SC 29601-3512  
p: 864.242.8200 | f: 864.235.8900  
[www.wyche.com](http://www.wyche.com)

# W Y C H E

Attorneys at Law

November 9, 2012

South Carolina Senate  
State House  
Columbia, South Carolina

Re: *State Ethics Commission Application/Nomination – James I. Warren III*

Dear Ladies and Gentlemen of the Senate:

It is my pleasure to recommend Jim Warren for appointment as a commissioner to the State Ethics Commission. I have practiced law with Jim for over ten years. During that time I have come to know Jim very well, and I have the highest regard for his ability, judgment, and ethical sense. Jim is an excellent lawyer; he also understands the importance of ethics in our government, and in all facets of life. Jim is fair-minded and deliberate, and will bring experience, good judgment, and common sense to his work for the Ethics Commission, as he does in his law practice.

Jim is an exceptional individual, and I am confident he will do a superb job on the Commission.

Sincerely,



J. Theodore Gentry  
(864) 242-8270  
tgentry@wyche.com

W Y C H E  
PROFESSIONAL ASSOCIATION

44 East Camperdown Way, Greenville, SC 29601- 3512  
p: 864.242.8200 | f: 864.235.8900  
www.wyche.com

CONFIDENTIAL FINANCIAL STATEMENT  
NET WORTH

Date of Statement: November 5, 2012

Name: James Ivey Warren III  
Address: 44 East Camperdown Way, Greenville, SC 29601 (business address)  
119 Meyers Drive, Greenville, SC 29605 (home address)  
Employer: Wyche, P.A.  
Position: Attorney (Member of Firm); Employed at Firm since September 6, 1996

**Assets (estimates):**

1. Cash on hand in banks - checking and savings accounts: (includes accounts jointly held with spouse)	\$50,000
2. Vehicles owned (3 vehicles)	\$30,000
3. Household Furnishings (Jointly Owned Items With Spouse – Some Items owned solely by Spouse and are excluded)	\$40,000
4. Whole Life Insurance Policy with Northwestern (Cash Value)	\$20,000
5. Jural Partners, LLC (Value of Equity) Jural Partners, LLC primarily owns 2 office buildings in Greenville, South Carolina (own a minority interest in such LLC)	\$60,000
<b>Total Assets (excludes Firm Pension/Profit Sharing Fund and Individual Roth IRA Account)</b>	<b><u>\$200,000</u></b>

**Liabilities (estimates):**

1. Mortgage Loans <sup>1</sup>	\$395,000
2. Car Loan	\$13,000
<b>Total Liabilities</b>	<b><u>\$408,000</u></b>

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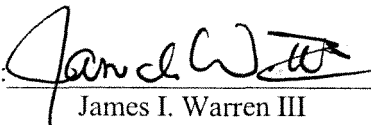
<sup>1</sup> Allison B. Warren (wife) is the sole owner of Meyers Drive house. James I. Warren III is a borrower under two notes, which notes are secured by mortgages on the house. Amounts above reflect total estimates of amounts currently owed under both mortgage loans if both mortgage loans were to be paid off as of the date of this financial statement.

GENERAL INFORMATION:

1. Question: Are any assets pledged?  
Answer: House is pledged as security for two mortgage loans. Allison B. Warren (wife) is the sole owner of the house located at 119 Meyers Drive. James I. Warren III is a borrower under two notes, which notes are secured by two separate mortgages on the house. One of the cars owned by James I. Warren III has a lien in favor of a bank.
2. Question: Are you a defendant in any suits or legal actions?  
Answer: No
3. Question: Have you ever taken bankruptcy?  
Answer: No

I HEREBY CERTIFY THAT MY ANSWERS ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

Date: November 5, 2012

Signature:   
James I. Warren III