

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Albert, Theodor C.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 10/17/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 411 W. Fourth Street Santa Ana, CA 92701-4593 Suite 5085		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	Chapman University, Fowler School of Law	\$6,390.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. California Bankruptcy Forum	May 2016	Indian Wells	annual conference	two nights lodging and meals
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Bank of America	credit card balance	J
2.	Wells Fargo	credit card balance	J
3.	Macy's credit	credit card balance	J
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Georgia Dover Educ. Trust #2	A	Dividend	L	T	Distributed (part)	05/01/16	J		
2. -Washington Mutual Investors Fund	A	Interest	L	T					
3. -Learning Quest	A	Interest	J	T					
4. Bank of America checking	A	Interest	J	T					
5. Griffin, Lotz & Holzman 401k* header	C	Interest	L	T					
6. -Am Funds The Growth Fund of America	A	Dividend			Sold	06/28/16	J	A	
7. -Am Funds The New Economy Fund	A	Dividend			Sold	06/28/16	J	A	
8. -Am Funds Small Cap World Fund	A	Dividend			Sold	06/28/16	J	A	
9. -Am Funds Washington Mutual Investors Fund	A	Dividend			Sold	06/28/16	J	A	
10. -Am Funds The Income Fund of America	A	Dividend			Sold	06/28/16	J	A	
11. -The Bond Fund of America	A	Dividend			Sold	06/28/16	J	A	
12. -American High Income Trust	A	Dividend			Sold	06/28/16	J	A	
13. -U.S. Government Securities Fund	A	Dividend			Sold	06/28/16	J	A	
14. -Intermediate Bond Fund of America	A	Dividend			Sold	06/28/16	J	A	
15. -American Funds Money Market Fund	A	Dividend			Sold	06/28/16	J	A	
16. -Vanguard Energy	A	Dividend			Sold	06/28/16	J	A	
17. -Vanguard Health	A	Dividend			Sold	06/28/16	J	A	

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

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18. -Vanguard Intl Explorer	A	Dividend			Sold	06/28/16	J	A	
19. -Vanguard Mid and Small Cap	A	Dividend			Sold	06/28/16	J	A	
20. -Metro West Total Return	A	Dividend			Sold	06/28/16	J	A	
21. -PIMCO Emerging	A	Dividend			Sold	06/28/16	J	A	
22. Wells Fargo Checking	A	Interest	J	T					
23. Simple IRA Wells Fargo Advisors	A	Interest	K	T					
24. Wells Fargo Advisors #1 header									
25. -Wells Fargo Cash deposit	A	Interest	J	T					
26. -BP PLC Spons ADR	A	Dividend	J	T					
27. -Darden Restaurants	A	Dividend	J	T					
28. -Frontier Communications	A	Dividend	J	T					
29. -General Electric Corp.	A	Dividend	J	T					
30. -New York Community Bancorp.	A	Distribution	J	T	Buy (add'l)	08/12/16	J		
31. -Morgan Stanley Fix/Float CPA Note	A	Interest	J	T					
32. -Morgan Stanley Fix/Float	A	Interest	K	T					
33. -U.S. Treasury Bond	A	Interest	J	T					
34. -Aberdeen Asia Pacific Fund	B	Dividend	J	T					

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35. -Morgan Stanley Emerging Market Fund	A		K	T					
36. -Eaton Vance Tax Managed Global	A	Dividend	J	T					
37. -Eaton Vance Tax Managed					Sold (part)	03/08/16	K	A	
38. -Gabelli Dividend&Income Trust	A	Dividend	J	T	Sold (part)	02/12/16	J	A	
39. -Blackrock Enhanced Govt. Fund	A	Dividend	J	T					
40. -Green Mountain Coffee	A	Dividend	J	T					
41. -Frontier Communications	A	Dividend	J	T					
42. -New York Comm Bancorp call	A				Sold	12/09/16	J	A	
43. -New York Comm Bancorp	A		J	T	Buy	08/12/16	J		
44. -Hawaiian Elec. Inds I	A	Dividend	J	T	Buy	09/08/16	J		
45. -Olin Corp call		None	J	T	Buy	08/10/16	J		
46. -Olin Corp call		None			Sold	03/21/16	J	A	
47. -Olin Corp	A	Dividend	J	T	Buy	02/12/16	J		
48. -Olin Corp.	A	Dividend			Sold	08/12/16	J	B	
49. --Amgen Inc. call	A	Dividend	J	T	Sold (part)	04/15/16	J	A	
50. Wells Fargo Advisors #2 header									
51. -Cash sweep account	A	Interest	J	T					

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52. -Two Harbors Invt. Corp.	A	Dividend	J	T					
53. -Two Harbors Invt. Corp.	A	Dividend			Sold (part)	09/27/16	J	A	
54. -LaSalle Bank Floating Rate		None	K	T					
55. Wells Fargo Advisors #3 IRA header									
56. -La Salle Bank floating Rate	A	Interest	K	T					
57. -Aust. Currency Shres DL ETF		None	J	T					
58. -SPDR DB Intl. Govt.		None	J	T					
59. -Xerox Corp.	A	Dividend	J	T					
60. -C. SPLS 032015.		None	J	T					
61. -C SPLS 032015		None	J	T					
62. -Staples Inc.	A	Dividend			Buy (add'l)	03/08/16	K		
63. -Apple call	A	Dividend			Sold	06/06/16	J	A	
64. -Hecla Mining call		None			Sold	07/05/16	J	A	
65. -Hecla Mining	A	Dividend			Buy (add'l)	07/19/16	J		
66. -Hecla Mioning	A	Dividend			Sold (part)	07/19/16	J	A	
67. -Hecla Mining	A	Dividend			Buy (add'l)	11/02/16	J		
68. -Hecla Mining	A	Dividend			Sold (part)	11/04/16	J	A	

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69. -AT&T	A	Dividend	J	T	Buy (add'l)	11/04/16	J		
70. -Guggenheim Build Am.	A	Dividend	K	T	Sold (part)	04/19/16	K	A	
71. -Pfizer	A	Dividend	J	T					
72. -Pfizer	A	Dividend	J	T					
73. -Amgen, Inc.	A	Dividend	J	T					
74. -Amgen, Inc.	A	Dividend	J	T					
75. -Amgen, Inc.	A	Dividend	J	T					
76. -Starz Series A	A	Dividend			Buy (add'l)	03/08/16	J		
77. -Starz Series A	A	Dividend	J	T	Sold (part)	07/16/16	J	A	
78. -Starz Series A	A	Dividend			Buy (add'l)	02/12/16	J		
79. -Guggenheim Build Am.	A	Dividend	J	T	Sold (part)	04/14/16	K	B	
80. -Deere&Co.	A	Dividend	J	T	Sold (part)	06/08/16	J	A	
81. -Nuveen S&P 500 Buy-Write	A	Dividend	J	T	Buy (add'l)	06/08/16	J		
82. -Firstenergy Corp.	A	Dividend	J	T					
83. -Google CL C Non-voting		None	J	T					
84. -Hertz Global Holdings		None	J	T					
85. -Ford Motor Co.	A	Dividend	J	T	Buy	04/19/16	J		

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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86. -JPMorgan Chase med. notes	A	Interest	L	T	Buy	07/19/16	L		
87. -Hecla Mining	A	Dividend	J	T	Buy	07/19/16	J		
88. -Hecla Mining	A	Dividend	J	T	Sold (part)	07/19/16	J	A	
89. -Fitbit, Inc. CL A	A	Dividend	K	T	Sold (part)	09/27/16	K	A	
90. -Fitbit, Inc. CL A	A	Dividend	K	T	Buy	09/27/16	K		
91. -Hecla Mining call		None			Buy	11/02/16	J		
92. -Hecla Mining Co.	A	Dividend			Sold	11/04/16	J	A	
93. -At&T Inc.	A	Dividend			Buy (add'l)	11/04/16	J		
94. -Apple, Inc. call		None			Buy	11/14/16	J		
95. -Apple, Inc.	A	Dividend			Sold (part)	11/16/16	J	A	
96. -Apple, Inc. call		None			Buy	11/22/16	J		
97. -Apple, Inc.	A	Dividend			Sold	11/25/16	J	A	
98. The [REDACTED] Trust (see part VIII header)	B								
99. -City National Bank	A	Interest	M	T					
100. -Wells Fargo Bank	B	Interest	N	T	Distributed (part)	08/18/16	N	A	
101. -WellsFargo Bank	B	Interest	N	T	Distributed (part)	11/18/16	N	A	
102. -Chase Bank	A	Interest			Distributed	08/18/16	L	A	

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103. -Union Bank	A	Interest			Distributed	11/18/16	M	A	
104. -Bank of America	A	Interest			Distributed	11/18/16	J	A	
105. -Edison Intl. Stock	A	Dividend			Redeemed	08/18/16	J	A	
106. The [REDACTED] Trust(see part VIII)	B	Int./Div.	M	T	Distributed (part)	11/18/16	N		
107. [REDACTED] home held by trust					Sold	10/21/16	O	A	[REDACTED] Tristan Kelley

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

VII Investments cont. Items #1 Georgia Dover Educational trusts are invested in Washington Mutual Investor's Fund administered by Learning Quest.

Item # 5-31: Griffin and Griffin* at some time in recent past became known as Griffin, Lotz & Holzman. This is [REDACTED] 401k plan maintained by [REDACTED] former employer and invested in American Funds: The Growth Fund of America-R3, The New Economy Fund R-3, Smallcap World Fund R3, The Income Fund of America R3, American High Income Trust R-3, U.S. Securities Fund R-3, Intermediate Bond Fund of America R-3 and American Funds Money Market Fund R3 and the other items shown at lines 5-21 were liquidated on or about 6/28/2016 and held as rollover cash in her IRA account held by Wells Fargo Advisors.

Item # 22: This account is the operating account for [REDACTED] lawfirm Gaskell & Brown. Balance fluctuates daily.

Item #34: This event is described by Wells Fargo Advisors, who manages the account, as a "return of capital" not a dividend

Items #s 98-107: The [REDACTED] Trust was a testamentary trust created by [REDACTED] on Aug. 30, 1989. [REDACTED] was the second of these trustors to decess and by terms of the trust on [REDACTED] death I became the successor trustee. [REDACTED] passed away July 27, 2016. The funds described in the report were all deposit bank accounts except for a small sale of Edison stock. All of those accounts were denominated in the name of The T [REDACTED] Trust. The distributions as reported were all to designated beneficiaries of the trust, [REDACTED]

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Albert, Theodor C.

Date of Report

10/17/2017

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Theodor C. Albert

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544