

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Kwan, Robert N.	2. Court or Organization U.S. Bankruptcy Court, CD CA	3. Date of Report 04/26/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address Roybal Federal Building, Suite 1682 255 E. Temple St. Los Angeles, CA 90012		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Board of Directors	Southern California Bankruptcy American Inn of Court
2.	Executive Committee Member	Los Angeles County Bar Association, Commercial Law and Bankruptcy Section
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

04/26/2013

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.

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. 2012

salary

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

5/18/12-5/20/12

Rancho Mirage, CA

CLE

Lodging, meals, seminar fees

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

04/26/2013

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

04/26/2013

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. Wells Fargo Bank, checking account	A	Interest	J	T					
2. Chase Bank, checking account	A	Interest	J	T					
3. Chase Bank, savings account #1	A	Interest	J	T					
4. Chase Bank, savings account #2	A	Interest	K	T					
5. East West Bank, savings account	A	Interest			Distributed	1/1/12	J		
6. East West Bank, savings account	A	Interest	J	T	Open	12/3/12	J		
7. East West Bank, checking account	A	Interest	J	T	Open	12/3/12	J		
8. Northwestern Mutual Life Ins. Co., cash value policy	A	Dividend	J	T					
9. Brokerage Account									
10. - Merrill Lynch CMA money market fund	A	Dividend	J	T					
11. IRA # 1									
12. -ING International Value mutual fund	A	Dividend	J	T					
13. -Columbia Seligman Communications and Information mutual fund		None	J	T					
14. - Blackrock Health Sciences Opportunities mutual fund		None	J	T					
15. - Blackrock Global Allocation mutual fund	A	Dividend	J	T					
16. -Blackrock Large Cap Value mutual fund		None	J	T					
17. -Davis New York Venture mutual fund	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 N = \$250,001 - \$500,000	L = \$50,001 - \$100,000 O = \$500,001 - \$1,000,000	M = \$100,001 - \$250,000 P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000 P4 = More than \$50,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value	V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Kwan, Robert N.

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04/26/2013

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. -Nuveen Preferred Income Opportunities mutual fund	A	Int./Div.	J	T					
19. -Pimco Total Return mutual fund	A	Int./Div.	J	T					
20. -Merrill Lynch money market fund	A	Dividend	J	T					
21. IRA # 2									
22. -Calamos Growth mutual fund		None	K	T					
23. -Hartford Capital Appreciation I mutual fund	A	Dividend	J	T					
24. -Putnam International Equity mutual fund		None	J	T					
25. -Hartford Capital Appreciation II mutual fund	A	Dividend	J	T					
26. -Cohen & Steers Closed End mutual fund	A	Dividend	J	T					
27. 403(b) retirement savings plan									
28. -TIAA-CREF Growth & Income mutual fund	A	Int./Div.	J	T					
29. -TIAA-CREF Social Choice mutual fund	A	Dividend	J	T					
30. -TIAA-CREF International Equity mutual fund	A	Dividend	J	T					
31. -TIAA-CREF Large Cap Value mutual fund	A	Int./Div.	J	T					
32. -TIAA-CREF Mid-Cap Value mutual fund	A	Int./Div.	J	T					
33. -TIAA-CREF S&P 500 Index mutual fund	A	Dividend	J	T					
34. -TIAA-CREF Small Cap Value mutual fund	A	Int./Div.	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Kwan, Robert N.

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35. Life Investors Insurance Co. Deferred Fixed Annuity acct.	A	Interest	J	T					
36. 403(b) annuity plan	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

04/26/2013

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

VII.5 The East West Bank savings account was a Uniform Gift to Minors Act account [REDACTED] who ceased being a dependent for income tax purposes, effective 1/1/12. The account is listed as Distributed since [REDACTED] took over the account in 2012 and subsequently withdrew the remaining funds in the account which was less than \$1,000.

VII.17. The mutual fund previously reported as Nuveen Multistrategy mutual fund was renamed Nuveen Preferred Income Opportunities Fund.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

04/26/2013

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/ **Robert N. Kwan**

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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