

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) DODD, DOUGLAS D.	2. Court or Organization MIDDLE DISTRICT OF LOUISIANA	3. Date of Report 05/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 707 FLORIDA ST. STE. 236 BATON ROUGE, LOUISIANA 70801		
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. CO-TRUSTEE	TRUST # 1 CLASS TRUST (SEE NOTE IN PART VIII)
2. TRUSTEE	TRUST # 2 CLASS TRUST (SEE NOTE IN PART VIII)
3. ADJUNCT PROFESSOR OF LAW	LOUISIANA STATE UNIVERSITY LAW CENTER
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 7

Name of Person Reporting

DODD, DOUGLAS D.

Date of Report

05/14/2014

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. 2013	LOUISIANA STATE UNIVERSITY LAW CENTER - TEACHING SALARY	\$2,200.00
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.	NATIONAL ASSOCIATION OF BANKRUPTCY TRUSTEES ANNUAL CONFERENCE	FEBRUARY 21-23, 2013	SCOTTSDALE, AZ	EDUCATIONAL SEMINAR SPEAKER	TRANSPORTATION, LODGING, MEALS
2.	ASSOCIATION OF BANKRUPTCY JUDICIAL ASSISTANTS	OCTOBER 28 - 30, 2013	ATLANTA, GA.	EDUCATIONAL SEMINAR SPEAKER	TRANSPORTATION, LODGING, MEALS
3.	LOUISIANA STATE BAR ASSOCIATION	NOVEMBER 15, 2013	NEW ORLEANS, LA	EDUCATIONAL SEMINAR SPEAKER	TRANSPORTATION
4.	LOUISIANA BANKERS ASSOCIATION	DECEMBER 12, 2013	NEW ORLEANS, LA	BANK COUNSEL CONFERENCE SPEAKER	TRANSPORTATION

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

DODD, DOUGLAS D.

Date of Report

05/14/2014

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

DODD, DOUGLAS D.

Date of Report

05/14/2014

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 5 of 7

Name of Person Reporting

DODD, DOUGLAS D.

Date of Report

05/14/2014

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)

1. TENET HEALTHCARE CORP. 401(K) PLAN	A	Int./Div.	J	T					
2. -- Vanguard Inst. Index Fund									
3. -- AF Growth of America Fund									
4. -- Davis NY Venture Y Fund									
5. FIDELITY HOMESTEAD ASS'N IRA (MONEY MARKET)	A	Interest	J	T					
6. WHITNEY NATIONAL BANK ACCOUNTS	A	Interest	J	T					
7. SUN LIFE ASSURANCE: WHOLE LIFE POLICY (Y)	A	Dividend			Closed	05/01/13	J		SEE NOTE IN PART VIII
8. PHOENIX HOME LIFE: WHOLE LIFE POLICIES (Y)	A	Dividend			Closed	05/01/13	J		SEE NOTE IN PART VIII
9. TRUST#2 CLASS TRUST		None							
10. -- 70% interest in Dodd Investments, L.L.C.									
11. CAPITOL ONE BANK ACCOUNT		None	J	T					
12. CAMPUS FEDERAL CREDIT UNION ACCOUNT	A	Int./Div.	J	T					
13. NORTHWESTERN MUTUAL LIFE: WHOLE LIFE POLICY	A	Dividend	K	T	Buy	05/01/13	K		SEE NOTE IN PART VIII
14.									
15.									
16.									
17.									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

DODD, DOUGLAS D.

Date of Report

05/14/2014

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

PART I -

LINE 1 - TRUST #1 CLASS TRUST IS AN UNFUNDED TRUST THAT WAS ESTABLISHED TO RECEIVE THE PROCEEDS OF LIFE INSURANCE POLICIES. THE INSURED IS STILL LIVING, AND THE TRUST HAS NO ASSET VALUED AT MORE THAN \$1000.

LINE 2 - TRUST # 2 CLASS TRUST OWNS 70% OF THE MEMBERSHIP INTERESTS IN DODD INVESTMENTS, L.L.C., A LOUISIANA LIMITED LIABILITY COMPANY. I HAVE NO CONTROL OVER THE LIMITED LIABILITY COMPANY, WHICH HAS NO ASSETS.

PART VII -

LINES 7, 8, 13 - TWO PHOENIX HOME LIFE POLICIES AND ONE SUN LIFE INSURANCE POLICY WERE TRANSFERRED DIRECTLY TO NORTHWESTERN MUTUAL IN EXHCANGE FOR A REPLACEMENT WHOLE LIFE CONTRACT IN A 1035 TRANSFER/EXCHANGE IN MAY 2013. ONE PHOENIX HOME LIFE POLICY WAS SURRENDERED AND ONE SUN LIFE POLICY WAS ALLOWED TO LAPSE AS PART OF THE SAME TRANSACTION.

LINE 12 - CAPITOL ONE BANK ACCOUNT IS NOT AN INTEREST BEARING ACCOUNT.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

DODD, DOUGLAS D.

Date of Report

05/14/2014

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/ **DOUGLAS D. DODD**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544