

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Case, Charles G.	2. Court or Organization United States Bankruptcy Court	3. Date of Report 04/02/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2012 to 12/31/2012
7. Chambers or Office Address 230 North 1st Avenue, Suite 101 Phoenix, AZ 85003-1727		
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.	Trustee	Trust 1 (comment 1)
2.	Trustee	Trust 2 (comment 2)
3.	Member, Board of Directors	International Insolvency Institute
4.	Member, Board of Directors	Harvard Glee Club Foundation (comment 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. 11/1/2011	Bloomberg Law; write chapters for treatise; compensated by the page in the same manner as non-judge authors
2. 6/11/2011	Zanichelli Editore S.p.A; periodic nominal royalties for a review of US law I wrote for an Italian legal treatise
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 06/15/2012	Zanichelli Editore, royalties for 2011	\$150.00
2. 12/19/2012	Bloomberg LLP, editorial	\$2,952.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	State of Arizona 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American College of Bankruptcy	March 2012	Washington DC	attend annual meeting	travel and subsistence expenses
2. Bankruptcy Bar Association for Southern District of Florida	May 2012	Bonita Springs FL	discussion leader at annual retreat	travel and subsistence expenses
3. World Bank	June 2012	Beijing and Beidaihai China	training for Chinese judges	travel and subsistence expenses
4. International Insolvency Institute	June 2012	Paris France	attend annual meeting	travel and subsistence expenses
5. Lawyers Association of Alba Italy et al	November 2012	Alba Italy	speak at conference	travel and subsistence expenses

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

6.	National Center for InterAmerican Free Trade Law	December 2012	Bogota Colombia	training for Colombian judges	travel and subsistence expenses
7.	National Conference of Bankruptcy Judges	October 20October 201211	San Diego CA	attend annual meeting	subsistence expenses

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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 5 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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. Share accounts at Arizona Central Credit Union	A	Int./Div.	K	T					
2. Bank of America deposit account	A	Int./Div.	J	T					
3. Bank of America deposit account	A	Int./Div.	K	T					
4. Trust 1 (see next entry)									
5. 1/2 interest in deed of trust on residential lot (comment 1)					Matured	06/15/12	M		3rd party (Smith)
6. Trust 2 (see next entry)									
7. 1/2 interest in residential lot (comment 2)					Sold	06/15/12	M		3rd party (Smith)
8. First Credit Union deposit account	A	Int./Div.	J	T					
9. West Fargo Bank (IRA cash equivalent account)	A	Int./Div.	J	T					
10. Matthews Asian Grth & Income Instl	A	Int./Div.	J	T					
11. DFA Inflation Protected Securities Fund	B	Int./Div.	K	T					
12. DFA Intermediate Govt Fixed Income Portfolio	B	Int./Div.			Buy (add'l)	01/17/12	K		Market
13.					Buy (add'l)	01/23/12	K		Market
14.					Sold	03/15/12	L	B	Market
15. DFA US Large Cap Value Portfolio	A	Dividend	J	T					
16. PIMCO Total Return Fund	C	Int./Div.	L	T	Buy (add'l)	01/03/12	J		Market
17.					Buy (add'l)	02/01/12	J		Market

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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)
18.					Buy (add'l)	03/02/12	J		Market
19.					Sold (part)	03/15/12	K	A	Market
20.					Buy (add'l)	04/02/12	J		Market
21.					Buy (add'l)	05/01/12	J		Market
22.					Sold (part)	05/08/12	J	A	Market
23.					Buy (add'l)	06/01/12	J		Market
24.					Buy (add'l)	07/02/12	J		Market
25.					Buy (add'l)	08/01/12	J		Market
26.					Buy (add'l)	09/04/12	J		Market
27.					Sold (part)	09/13/12	J	A	Market
28.					Buy (add'l)	10/01/12	J		Market
29.					Buy (add'l)	11/01/12	J		Market
30.					Buy (add'l)	12/03/12	J		Market
31.					Buy (add'l)	12/13/12	J		Market
32.					Buy (add'l)	12/28/12	J		Market
33. DFA US Core Equity 2	B	Int./Div.	L	T					
34. iShares S&P Global Energy Sector Fund	A	Dividend	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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)

35. DFA Emerging Markets Core Equity Portfolio	B	Dividend	K	T	Buy (add'l)	01/23/12	J		Market
36. Templeton Income Global Bond Advisor	B	Int./Div.	K	T					
37. iShares S&P 500 Index	A	Dividend	K	T					
38. TD Bank NA	A	Interest	J	T					
39. Mutual Global Discovery Fund-Z (X)	A	Int./Div.	K	T					
40. Mutual Beacon Fund-Z (X)	A	Int./Div.	K	T					
41. Loans to Trust 2 (comment 3)	A	Int./Div.			Matured	06/15/12	J	A	Trust 2
42.					Matured	06/15/12	J	A	Trust 2
43.					Matured	06/15/12	J	A	Trust 2
44.					Matured	06/15/12	J	A	Trust 2
45.					Matured	06/15/12	J	A	Trust 2
46.					Matured	06/15/12	J	A	Trust 2
47. Powershares DB Comm Ind Fd		None	J	T					
48. iShares MSCI Brazil Ind Fd		None			Sold	03/15/12	J	A	Market
49. DFA US Large Co Portfolio	A	Dividend	K	T					
50. Pimco Inst Grd Corp Bd Instl	B	Int./Div.	L	T	Buy	03/15/12	L		Market
51.					Buy (add'l)	09/24/12	J		Market

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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)

52.	Loomis Sayles Inv't Grd Bd Fd Cl Y	B	Int./Div.	K	T	Buy	03/19/12	K		Market
53.	iShares US Pfd Stock Index Fnd	A	Dividend	J	T	Buy	05/08/12	J		Market
54.	DFA US Sm Cap Port	A	Dividend	K	T	Buy	09/13/12	K		Market
55.										
56.										
57.										
58.										
59.										
60.										
61.										
62.										
63.										
64.										
65.										
66.										
67.										

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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

1. Trust 1 was established in 1995. I am a co-trustee and beneficiary. It acquired the deed of trust in 2008 as explained in 2010's report. The underlying property was sold in 2012 at a value less than appraised value from 2010 and the note secured by the deed of trust was a related party transaction and was non-interest bearing; thus, no gain is reported as only the principal was paid. The trust terminated in 2012.
2. Trust 2 is a revocable trust of which I became trustee upon the death of the settlor/trustee in November 2010. The primary asset of the trust was sold at a value less than appraised value from 2010 and the proceeds distributed in 2012; thus, no gain is reported. The trust terminated in 2012.
3. I made loans to Trust 2 for the upkeep of the trust property pending sale. These are listed as "Buy". All loans were repaid in 2012.
4. My position as a board member of this organization terminated in October 2012.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Case, Charles G.

Date of Report

04/02/2013

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/ **Charles G. Case**

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

Charles G. Case II
United States Bankruptcy Judge (retired)
District of Arizona

June 13, 2013

Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Amendment to 2012 Financial Disclosure Report

Ladies and Gentlemen of the Committee:

I have received your inquiry of June 13, 2013 and reviewed my records. My holdings in the asset you reference, DFA Select Hedge Gbl Fixed Income, were sold in their entirety on January 18, 2012 with no gain and no income during the reporting period. This information was omitted in my original report due to an oversight.

As I am retired, I unfortunately do not have ready access either to the electronic files or the software necessary to prepare a complete revised report. However, such a report would contain a new line 55 on Page 8 of section VII as follows:

A	B1	B2	C1	C2	D1	D2	D3	D4	D5
DFA Select Hedge Gbl Fixed Income					Sold all	01/18/12	K		Market

Please accept this letter as a complete response to your inquiry.

Yours very truly,

Charles G. Case II
United States Bankruptcy Judge (ret.)