

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) Kwan, Robert N.	2. Court or Organization U.S. Bankruptcy Court, CD CA	3. Date of Report 05/5/2014
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 01/01/2013 to 12/31/2013
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. Co-President, 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.	

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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.		
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. 2013	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	5/17/13-5/19/13	San Diego, CA	CLE	Lodging, meals, seminar fees
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
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. Wells Fargo Bank, checking account	A	Interest	J	T					
2. Wells Fargo Bank, savings account	A	Interest	J	T					
3. Chase Bank, checking account	A	Interest	J	T					
4. Chase Bank, savings account #1	A	Interest	J	T					
5. Chase Bank, savings account #2	A	Interest	K	T					
6. East West Bank, savings account	A	Interest	J	T					
7. East West Bank, checking account	A	Interest	J	T					
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	K	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 = \$250,000.01 - \$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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☐ 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					

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35. Life Investors Insurance Co. Deferred Fixed Annuity acct.	A	Interest	J	T					
36. [REDACTED] s Retirement System 403(b) annuity plan	A	Interest	J	T					

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

Part VII, item no. 2: A Wells Fargo savings account was added. The account was in existence before my appointment in 2007, but inadvertently omitted because it was linked to my checking account there and had relatively small amounts (i.e., less than \$1000 before 2011). I will amend the reports for 2007 through 2012 to add this account.

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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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