

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) Klingeberger, J. Philip	2. Court or Organization U.S. Bankruptcy Court, N.D. IN	3. Date of Report 05/07/2013
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 5400 Federal Plaza Suite 3800 Hammond Indiana 46320		
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.		

RECEIVED
2013 MAY 21 AM 25
FINANCIAL
DISCLOSURE OFFICE

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Klingeberger, J. Philip

Date of Report

05/07/2013

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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bankruptcy Institute	6/7/2012-- 6/10/2012	Traverse City, MI	Instructor at Central States Conference	Seminar fees/ lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Klingeberger, J. Philip

Date of Report

05/07/2013

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Klingeberger, J. Philip

Date of Report

05/07/2013

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)
1. Savings Account -- Centier Bank	A	Interest	K	T					
2. Savings Account-- 5th 3rd Bank	A	Interest	J	T					
3. Merrill Lynch IRA	A	Dividend	J	T					
4. -- Mainstay Large Cap									
5. -- American Century									
6. -- Permanent Portfolio Fund									
7. -- Dreyfus Appreciation FD									
8. -- Federated Strategic									
9. -- TCW Total Return									
10. -- The Oakmark Select Fund									
11. -- Ivy Asset Strategy									
12. -- Prudential Short Term									
13. -- Wells Fargo ADV Small Cap									
14. -- Pioneer Strategic									
15. -- The Oakmark Select Fund					Buy	3/26/12	J		
16. -- American Century					Buy	3/26/12	J		
17. -- Prudential Jennison					Sold	3/26/12	J		

1. Income Code:

(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 --\$1,001,001 - \$5,000,000

D --\$5,001 - \$15,000

H2 --More than \$5,000,000

E --\$15,001 - \$50,000

2. Value Code

(See Columns C1 and D3)

I --\$15,000 or less

N --\$250,001 - \$500,000

K --\$15,001 - \$50,000

O --\$500,001 - \$1,000,000

L --\$50,001 - \$100,000

P1 --\$1,000,001 - \$5,000,000

M --\$100,001 - \$250,000

P2 --\$5,000,001 - \$25,000,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Klingeberger, J. Phillip

Date of Report

05/07/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-68 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. -- First Eagle Gold Fund					Sold	3/26/12	J		
19. -- Federated Strategic					Sold	3/26/12	J		
20. -- Wells Fargo Advance Small Cap					Sold	3/26/12	J		
21. -- Pioneer Strategic					Buy	3/26/12	J		
22. -- Mainstay Large Cap					Buy	3/26/12	J		
23. -- Pimco Long Term U.S.					Buy	3/26/12	J		
24. -- Pimco Total Return Fund					Sold	3/26/12	J		
25. -- Templeton GLBL Bond Fund					Sold	3/26/12	J		
26. -- Permanent Portfolio Fund					Buy	3/26/12	J		
27. -- Dreyfus Appreciation Fund					Sold	3/26/12	J		
28. -- The Oakmark Select Fund					Buy	6/7/12	J		
29. -- TCW Total Return					Buy	6/7/12	J		
30. -- American Century					Sold	6/7/12	J		
31. -- Pioneer Strategic					Buy	6/7/12	J		
32. -- Eaton Vance Floating					Sold	6/7/12	J		
33. -- Mainstay Large Cap					Buy	6/7/12	J		
34. -- Pimco Long Term U.S.					Sold	6/7/12	J		

1. Income Gain Codes:

(See Columns B) and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

H = \$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 C) and D3)

J = \$15,000 or less

N = \$250,001 - \$500,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Klingeberger, J. Philip

Date of Report

05/07/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-66 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. --TCW Total Return					Buy	8/20/12	J		
36. -- Pimco Long Term U.S.					Sold	8/20/12	J		
37. -- The Oakmark Select Fund					Buy	10/10/12	J		
38. -- TCW Total Return					Sold	10/10/12	J		
39. -- American Century					Buy	10/10/12	J		
40. -- Prudential Jennison					Sold	10/10/12	J		
41. -- Mainstay Large Cap					Sold	10/10/12	J		
42. -									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

X = \$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

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Klingeberger, J. Philip

Date of Report

05/07/2013

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Klingeberger, J. Philip

Date of Report

05/07/2013

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



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