

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Ellis-Monro, Barbara J.	2. Court or Organization U.S. Bankruptcy Court, Northern District of Georgia	3. Date of Report 05/13/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 75 Spring St., SW, Rm. 1430 Atlanta, GA 30303		
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.	
2.	
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. June, 2012	Partner/employees of Ogier, Rothschild, Rosenfeld & Ellis-Monro, PC; collection of fees generated prior to departure, full payout to filer by 12/31/15*
2. May, 2010	Ellenberg, Ogier, Rothschild & Rosenfeld, PC PS Retirement Plan; 401k with former firm, no control
3. Jan. 2003	Smith, Gambrell & Russell, LLP Partner-Staff 401(k) PS Plan; 401k with former firm, no control
4. 1984	Sears Holding Pension Plan fka Kmart Pension Plan

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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. 2014	Ogier, Rothschild, Rosenfeld & Ellis-Monro, PC n/k/a Ogier, Rothschild & Rosenfeld, PC; accounts receivable collection;	\$38,279.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	Turner Services, Inc. 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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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.	██████████	██████████ tuition ██████████	None
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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. Associated Credit Union Accounts	A	Int./Div.	M	T					
2. Northwestern Mutual Whole Life	C	Dividend	L	T					
3. Path 2 College 529 Plan - TIAA CREF Balanced Option	B	Dividend	K	T					
4. Brokerage Account #1 - Northwestern Mutual account (H)									
5. American Funds Inc Fnd of Amr A	A	Dividend	K	T					
6. Brokerage Money Market		None	J	T					
7. New Perspective Fund - A	A	Dividend	J	T					
8. The Bond Fund of Amercia - A	A	Interest	J	T					
9. The Growth Fund of America - A	B	Dividend	K	T					
10. The Investment Company of America - A	B	Dividend	K	T					
11. Washington Mutual Investors Fund - A	B	Dividend	K	T					
12. IRA #1 - Northwestern Mutual (H)									
13. Brokerage Money Market		None	J	T					
14. New Perspective Fund - A	A	Dividend	J	T					
15. The Growth Fund of America - A	B	Dividend	J	T					
16. The Investment Company of Amercia - A	A	Dividend	J	T					
17. Washington Mutual Investors Fund - A	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 5 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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. IRA #2 Northwestern Mutual IRA (H)									
19. American Funds Inc Fnd of Amr A	A	Dividend	J	T					
20. Brokerage Money Market		None	J	T					
21. New Perspective Fund -A	A	Dividend	J	T					
22. The Bond Fund of America - A	A	Interest	J	T					
23. The Investment Co. of America - A	B	Dividend	J	T					
24. Washington Mutual Investors Fund - A	A	Dividend	K	T					
25. The Growth Fund of America - A	A	Dividend	J	T					
26. Smith Gambrell & Russell LLP Partner Staff 401(k) (H)*	E		N	T					
27. -DFA US Large Cap Value III									
28. -Vanguard Growth Index Instl									
29. -DFA US Targeted Value I									
30. -Vanguard Mid-Cap Growth Index Inv									
31. -Vanguard Small Cap Growth Index Inv									
32. -DFA Emerging Markets Core Equity									
33. -DFA Int'l Small Company I									
34. -DFA Large Cap Int'l									

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

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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 Int'l Real Estate Sec I									
36. -DFA Real Estate Securities I									
37. -DFA Five Year Global Fixed Income									
38. -DFA Inflation - Protection Securities									
39. -DFA One Year Fixed Income I									
40. Time Warner Savings 401(k) (H)	C	Int./Div.	N	T					
41. -Manning & Napier Overseas Fund									
42. -T. Rowe Price Large Cap Core Growth									
43. -DFA Emrg Mkt Core Equity									
44. -Dodge & Cox stock					Closed	07/11/14	L		
45. -Fidelity Large Cap Value Fund					Open	07/11/14	L		
46. -Fidelity Bond Index									
47. -Fidelity Diversified Bond					Closed	01/13/14	J		
48. -Fidelity Int'l Index									
49. -Fidelity S&P 500 Index									
50. -Fidelity Small Cap Blend*					Closed	04/15/13	J		
51. -Fidelity Small Cap Index									

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 7 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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. Ogier Rothschild Rosenfeld, PC 401k (H)*	D		M	T					
53. -Vanguard Capital Oppty Fnd Admiral Shares									
54. -Vanguard Extended Market Index Fnd Admiral Shares									
55. -Vanguard Global Equity Fnd									
56. -Vanguard High-Yield Corp Fnd Admiral									
57. -Vanguard Int'l Growth Fnd Admiral Shares									
58. -Vanguard Prime Money Market Fnd									
59. -Vanguard REIT Index Fnd Admiral Shares									
60. -Vanguard Selected Value Fnd									
61. -Vanguard US Growth Fnd Admiral Shares									
62. -T. Rowe Price Dividend Growth Fund									
63. -T. Rowe Price New Horizons Fnd									
64. -T. Rowe Price Int'l Stock Fnd									
65. Time Warner Stock Options		None			Sold	02/11/14	J	C	
66. Accounts Receivable Ogier, Rothschild & Rosenfeld, PC	E	Distribution	L	U					
67. US Treasury Bonds	A	Interest	J	T					
68. Guardian Life Ins. Co. of America whole life	D	Dividend	L	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 8 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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)
69. Sears Holding Pension Plan		None	J	W					
70. Vanguard SEP IRA (H)									
71. -Vanguard 500 Index Fund Admiral Shares	A	Dividend	J	T					
72. -Vanguard Total Int'l Stock Index Fund Investors Shares	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 9 of 10

Name of Person Reporting	Date of Report
Ellis-Monro, Barbara J.	05/13/2015

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

II. Agreements:

Line 1: This agreement was amended in December, 2014 to allow one additional year for collection of fees generated prior to leaving the practice of law.

VII. Investments and Trusts:

Line 26: No funds have been put into this plan since 2008. Statements for this account do not distinguish between dividends and gains so that it is not possible to identify the income portion of earnings versus the gain. Last year's report (2013) should have reported change in (unallocated) value in category F and my initial/annual report in 2012 should have reported unallocated income/gain in category E.

Line 50: In my 2013 report I inadvertently (and incorrectly) showed the closing of the Fidelity Small Cap Index Fund when in fact the fund that was closed was the Fidelity Small Cap Blend Fund. I have corrected this closing information in line 50 even though it is outside of the 2014 reporting period. The Small Cap Blend Fund would otherwise not be reported because it was closed in 2013. The Small Cap Index Fund remains open.

Line 52: The Plan Administrator for this fund advises that this fund is pooled not self-directed so it is not possible to allocate earnings between dividends and gains.

Line 66: As stated in Item III, my former firm is collecting my remaining accounts receivable from work performed prior to taking the bench. I will receive all remaining, collectible amounts, by December 31, 2015.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

05/13/2015

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/ **Barbara J. Ellis-Monro**

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