

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) Novack, Charles D.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 05/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Court 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 Robert F. Peckham Federal Building and United States Courthouse 280 S. First Street, Room 3035 San Jose, CA 95113 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. _____	_____

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
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. 2012

Self-employed attorney

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.

2. California Bankruptcy Forum

May 18, 2012 - May
20, 2012

Rancho Mirage, California

Attendance at California
Bankruptcy Forum

Food and Lodging

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.)*

	<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.	Occidental College	tuition	None
2.	Nordstrom Bank	credit card	None
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. IRA #1	D	Int./Div.	O	T					
2. - Schwab Cash and Money Mkt					Sold (part)	01/13/12	J		
3.					Sold (part)	01/26/12	J		
4.					Sold (part)	02/15/12	J		
5.					Sold (part)	03/28/12	J		
6.					Sold (part)	04/10/12	J		
7.					Sold (part)	07/09/12	J		
8.					Buy (add'l)	07/23/12	J		
9.					Sold (part)	08/13/12	J		
10.					Buy (add'l)	09/17/12	K		
11.					Sold (part)	09/19/12	J		
12.					Sold (part)	09/21/12	K		
13.					Sold (part)	11/01/12	J		
14.					Buy (add'l)	11/06/12	J		
15. -Accenture PLC Class A					Sold (part)	01/23/12	J		
16. - Baxter International, Inc.					Buy	12/19/12	K		
17. -Becton Dickerson Co. (common)					Buy (add'l)	01/23/12	J		

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	

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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.					Buy (add'l)	09/18/12	J		
19.					Sold	12/19/12	K		
20. - Bank of Nova Scotia (common)					Buy (add'l)	02/10/12	J		
21.					Sold	03/19/12	K		
22. - CH Robinson Worldwide, Inc. (common)					Buy (add'l)	01/23/12	J		
23.					Buy (add'l)	08/08/12	J		
24. -Colgate Palmolive Co. (common)									
25. -Canadian National Railways Co. (common)									
26. -Dover Corp. (common)					Sold	07/17/12	J		
27. -Factset Research System, Inc. (common)					Buy (add'l)	09/18/12	J		
28. -Grainger WW, Inc. (common)					Sold (part)	01/23/12	J		
29.					Buy (add'l)	09/18/12	J		
30. -Hormel (common)									
31. - Magellan Midstream Partners (common)					Sold (part)	01/23/12	J		
32. -McDonalds Corp. (common)					Sold (part)	01/23/12	J		
33.					Buy (add'l)	09/18/12	J		
34. - Metronic, Inc. (common)					Buy	09/18/12	J		

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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	
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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. -Nike, Inc. (common)					Buy (add'l)	09/18/12	J		
36. -Novo - Nordisk as ADR									
37. - Permanent Portfolio Fund					Sold (part)	02/10/12	K		
38.					Sold	03/13/12	K		
39. -Praxair, Inc. (common)									
40. - Target Corporation					Buy	07/17/12	K		
41. -TJX Companies (common)					Sold (part)	01/23/12	J		
42.					Sold (part)	07/17/12	J		
43. -T. Rowe Price Group (common)					Buy (add'l)	01/23/12	J		
44. - Toronto Dominion Bank					Buy	03/19/12	K		
45.					Buy (add'l)	09/18/12	J		
46. - Walgreen Company (common)									
47. - Xilinx, Inc. (common)					Buy	09/18/12	J		
48. - 361 Managed Futures Strat. Fund Cl 1					Buy	10/31/12	K		
49. - Doubleline Total Return Bond Fund Cl 1					Buy	05/17/12	K		
50.					Buy (add'l)	09/18/12	J		
51. - First Eagle Overseas Fund Cl A					Buy	01/23/12	K		

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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	
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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 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. - Templeton Global Bond Fund A					Sold (part)	05/17/12	K		
53.					Buy (add'l)	09/18/12	J		
54. - SPDR S&P Midcap 400 ETF					Buy	01/23/12	K		
55.					Buy (add'l)	09/08/12	J		
56.					Sold	10/31/12	K		
57. - SPDR Index Shares Fund Dow Jones Global Real					Buy	02/10/12	K		
58. - SPDR S&P Global ETF Natural Resources					Buy	03/13/12	K		
59.					Buy (add'l)	09/18/12	J		
60. - Vanguard Short Term Investment Grade Fund					Sold	05/25/12	K		
61. -Vanguard Intermediate Term Investment Fund					Sold	05/25/12	K		
62. -Vanguard Inflation Protected Securities FD									
63. -Vanguard International Equity Index All World					Buy	01/23/12	K		
64.					Buy (add'l)	09/18/12	J		
65. - Vanguard Corp. Bond ETF Short-Term Corp. Bond					Buy	05/25/12	K		
66.					Buy (add'l)	09/18/12	J		
67.					Sold (part)	10/31/12	J		
68. - Vanguard Corp. Bond ETF Intermediate- Term					Buy	03/23/12	J		

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
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69.					Buy (add'l)	05/25/12	K		
70.					Buy (add'l)	09/18/12	J		
71. - Vanguard Bond Index Fund					Buy	09/18/12	J		
72. - Vanguard Inflation Protected Securities FD					Buy	09/18/12	J		
73. -First Eagle Overseas Fund CL A									
74. - T. Rowe Price Emerging Markets Fund					Buy (add'l)	09/18/12	J		
75. IRA #2	D	Int./Div.	N	T					
76. -Schwab Adv. Cash Reserve					Sold (part)	01/26/12	J		
77.					Sold (part)	02/15/12	J		
78.					Sold (part)	05/18/12	J		
79.					Sold (part)	10/09/12	J		
80.					Sold (part)	11/01/12	J		
81.					Buy (add'l)	11/06/12	J		
82. - Accenture PLC Class A									
83. - Beckton Dickerson Co. (common)					Sold	12/19/12	J		
84. - Bank of Nova Scotia (common)					Sold	03/19/12	J		
85. - Baxter International Inc.					Buy	12/19/12	J		

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

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86. - C H Robinson Worldwide, Inc. (common)									
87. - Canadian National Railways Co. (common)									
88. - Colgate Palmolive Co. (common)									
89. - Dover Corp. (common)					Sold	07/17/12	J		
90. - Factset Research, Inc. (common)									
91. - Grainger WW, Inc. (common)					Sold (part)	01/23/12	J		
92. - Hormel (common)									
93. - Magellan Midstream Partners									
94. - McDonalds Corp. (common)					Sold (part)	01/23/12	J		
95. - Medtronic, Inc. (common)									
96. - Nike, Inc. (common)									
97. - Novo Nordisk as ADR									
98. - Target Corporation					Buy	07/17/12	J		
99. - Toronto Dominion Bank F					Buy	03/19/12	J		
100. - Permanent Portfolio Fund					Sold (part)	02/10/12	J		
101.					Sold	03/13/12	J		
102. - Praxair, Inc. (common)									

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103. - T. Rowe Price Group (common)									
104. - TJX Companies (common)					Sold (part)	01/23/12	J		
105.					Sold (part)	07/17/12	J		
106. - 361 Managed Futures Strat Fund C1 I					Buy	10/31/12	J		
107. - Doubleline Total Return Bond Fund C1 I					Buy	05/17/12	J		
108. - Vanguard Bond Index Fund									
109. - Vanguard Corporate Bond ETF Short-Term Corp. Bond					Buy (add'l)	01/23/12	J		
110.					Sold (part)	05/25/12	J		
111. - Vanguard Corp Bond ETF Intermediate-Term					Buy	05/25/12	K		
112. - Vanguard Intl Eqty Index ETF					Buy	01/23/12	J		
113. - First Eagle Overseas Fund CL A					Sold	01/23/12	J		
114. - SPDR S&P Global ETF Natural Resources					Buy	03/13/12	J		
115. - SPDR S&P Midcap 400 ETF					Buy	01/23/12	J		
116.					Sold	10/31/12	K		
117. - SPDR Index Shares Fund Dow Jones Global Real					Buy	02/10/12	J		
118. - T. Rowe Price - Emerging Markets Fund									
119. - Templeton Global Bond Fund					Sold	05/17/12	J		

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120. - Vanguard Intermediate Term Investment Fund					Sold	05/25/12	J		
121. - Vanguard Inflation Protected Securities FD									
122. - XILINX, Inc. (common)									
123. - Walgreen, Inc. (common)									
124. U.S Savings Bonds Type E	A	Int./Div.	J	T					
125. Wells Fargo Bank Accounts	A	Interest	K	T					
126. Bank of America Account	A	Interest	J	T					
127. Fidelity Value Fund	A	Dividend	J	T					
128. Fidelity Cash Reserves	A	Interest	K	T					
129. RBC Wealth Management U.S. Govt Money Market Account	A	Int./Div.	J	T					
130. Vanguard 500 Index IRA # 3	B	Int./Div.	M	T					
131. Fidelity Cal. Muni Market	A	Int./Div.	M	T					
132. Schwab Adv. Cash Reserve	A	Interest	J	T	Sold (part)	01/24/12	J		
133.					Sold (part)	01/26/12	J		
134. SPDR S & P Midcap 400 ETF	A	Dividend			Buy	01/23/12	J		
135.					Sold	10/31/12	J	A	
136. Vanguard Limited Term Tax Exempt Investor SHR	A	Dividend	J	T	Buy	10/31/12	J		

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	

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Name of Person Reporting

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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)
137. Brown Cap. Mgmt.	A	Distribution	J	T					
138. UBS Cash Fund	A	Interest	J	T					
139. Fidelity Blue Chip Growth	A	Dividend	J	T					
140. Fidelity Growth Strategies 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	

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Name of Person Reporting

Novaek, Charles D.

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

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Name of Person Reporting

Novack, Charles D.

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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/ Charles D. Novack**

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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Washington, D.C. 20544