

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/09/2016
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 01/01/2015 to 12/31/2015
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. Member, Board of Directors	James T. King Bankruptcy American Inn of Court (formerly Southern California Bankruptcy American Inn of Court)
2. Member, Board of Directors	Judge Robert M. Takasugi Pro Bono Bar Review Program
3. Member, Executive Committee	Los Angeles County Bar Association, Senior Lawyers Section
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

05/09/2016

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 1/15-12/15

Baldwin Park (City of), California, Public Schools, 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

05/09/2016

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

Kwan, Robert N.

Date of Report

05/09/2016

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	K	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	L	T					
6. East West Bank, savings account	A	Interest	K	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. -Voya Global Value (formerly International Value) mutual fund	A	Dividend			Sold	03/03/15	J	D	
13. -Voya Capital Allocation mutual fund	A	Int./Div.	J	T	Buy	03/04/15	J		
14. -Columbia Seligman Communications and Information mutual fund		None			Sold	03/03/15	K	D	
15. -Columbia Balanced mutual fund	A	Int./Div.	K	T	Buy	03/04/15	K		
16. - Blackrock Health Sciences Opportunities mutual fund		None			Sold	03/03/15	K	D	
17. American Balanced mutual fund	A	Int./Div.	K	T	Buy	03/05/15	K		

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 = \$250,000.001 - \$500,000.000	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 \$5,000,000.000	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 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

05/09/2016

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. - Blackrock Global Allocation mutual fund (A)	A	Int./Div.	J	T					
19. -Blackrock Large Cap Value mutual fund		None			Sold	03/03/15	J	B	
20. -Blackrock Global Allocation mutual fund (C)	A	Int./Div.	J	T	Buy	03/03/15	K		
21. -Davis New York Venture mutual fund		None			Sold	03/04/15	K	D	
22. -Nuveen Preferred Income Opportunities mutual fund	A	Int./Div.	J	T					
23. -Pimco Total Return mutual fund	A	Int./Div.			Sold	03/04/15	J	C	
24. -Merrill Lynch money market fund	A	Dividend	J	T					
25. IRA # 2									
26. -Calamos Growth mutual fund		None			Sold	03/03/15	K	D	
27. -Calamos Growth and Income mutual fund	A	Int./Div.	K	T	Buy	03/04/15	K		
28. -Hartford Global Capital Appreciation I mutual fund	A	Dividend			Sold	03/03/15	J	D	
29. -Hartford Balanced mutual fund (A)	A	Int./Div.	J	T	Buy	03/03/15	J		
30. -Putnam International Equity mutual fund	A	Int./Div.			Sold	03/03/15	J	B	
31. -Putnam Dynamic Asset Allocation Growth mutual fund	A	Int./Div.	J	T	Buy	03/03/15	J		
32. -Hartford Global Capital Appreciation II mutual fund	A	Dividend			Sold	03/03/15	K	D	
33. -Hartford Balanced mutual fund (C)	A	Int./Div.	J	T	Buy	03/03/15	K		
34. -Cohen & Steers Closed End mutual fund	A	Dividend			Sold	03/03/15	J	C	

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

05/09/2016

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. -American Balanced mutual fund	A	Int./Div.	J	T	Buy	03/03/15	J		
36. 403(b) retirement savings plan									
37. -TIAA-CREF Growth & Income mutual fund	A	Int./Div.	J	T					
38. -TIAA-CREF Social Choice mutual fund	A	Dividend	J	T					
39. -TIAA-CREF International Equity mutual fund	A	Dividend	J	T					
40. -TIAA-CREF Large Cap Value mutual fund	A	Int./Div.	J	T					
41. -TIAA-CREF Mid-Cap Value mutual fund	A	Int./Div.	J	T					
42. -TIAA-CREF S&P 500 Index mutual fund	A	Dividend	J	T					
43. -TIAA-CREF Small Cap Value mutual fund	A	Int./Div.	J	T					
44. Life Investors Insurance Co. Deferred Fixed Annuity acct.	A	Interest	J	T					
45. Calif. State Teachers Retirement System 403(b) annuity plan	A	Interest	J	T					
46. American Fidelity Assurance Co. 403(b) annuity plan	A	Interest	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 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

05/09/2016

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

One class of Hartford Global Capital Appreciation Fund was renamed Hartford Global Capital Appreciation Fund.

This amendment is to add a new item number 46 on Part VII, Investments and Trusts, for an annuity plan (American Fidelity Assurance Company) for my wife's employment not previously included when she started new employment in 2014. I had not previously known of this investment. I have also concurrently amended the 2014 annual report to reflect the acquisition of this new investment.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Kwan, Robert N.

Date of Report

05/09/2016

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544