

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) Federman, Arthur B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/08/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge (Active)	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 Charles Evans Whittaker Cthse. 400 East 9th St., Suite 6552 Kansas City, Mo. 64106		
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. Trustee, with no significant management duties - all assets are listed @VII | 1990 and 1992 Federman Trusts, beneficiaries are the reporting person and relatives, Assets are disclosed in Part VII |
| 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. | |

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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.)*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. _____

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 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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.	Wells Fargo Bank NA	I was a guarantor on a real est. mortgage for the benefit of my adult child. Guarantee released- 4-16-12	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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 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. Second Mortgage Investment Co., Inc - a 1.58% shareholder	A	Interest	J	W					
2. Commerce Bank NA, Lenexa Ks.- MMRkt	A	Interest	K	T	Distributed (part)	12/31/12	L		pers MMT -no detail req.
3. Capitol Federal Savings, Topeka, Ks. Ckg Acct		None			Closed	06/06/12	J		withdrew & closed acct.
4. Commerce Bank NA, Lenexa Ks - MMRKT	A	Interest	J	T	Open	06/06/12	J		pers chkg - no detail req
5. Commerce Bank NA, Lenexa Ks - MMRKT	A	Interest	M	T	Open	02/10/12	M		per MMT - no detail req.
6. Vanguard Fed MMT Fund	B	Int./Div.	J	T					
7. Vanguard - 500 Index Fund Admiral Shares - Total Bal	B	Int./Div.	M	T					
8. - Vanguard - 500 Index Fund Admiral Shares					Buy (add'l)	03/05/12	K		a current year addition
9. - Vanguard - 500 Index Fund Admiral Shares					Buy (add'l)	12/31/12	K		Total of reg. mo. adds
10. Vanguard - Total Intern. Stock Idx Adm-Total	C	Int./Div.	M	T	Buy (add'l)	12/31/12	K		Total of reg. mo. adds
11. Vanguard - Total Stock Market Index Fund Admiral Shrs-Bal	C	Dividend	M	T					
12. - Vanguard - Total Stock Market Index Fund Admiral Shrs					Buy (add'l)	05/09/12	K		a current year addition
13. - Vanguard - Total Stock Market Index Fund					Buy (add'l)	12/31/12	K		Total of reg. mo. adds
14. Northwestern Mutual Life Ins Policy	B	Interest	N	T					
15. Federman Family L.P. - Limited Partnership Interest	E	Interest	P1	W	Open	12/01/12	N		Gift Rec. From Parents
16. Commerce Bank N.A. , Kansas City, Mo. - Ckg Acct.	A	Interest	J	T					
17. FANNIE MAE Stepup Callable - see part VIII.	B	Interest			Redeemed	9/28/12	L	B	no Gain or (loss)

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	D = \$5,001 - \$15,000 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	E = \$15,001 - \$50,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
2. Value Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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 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. Bank of China (NY - CD	A	Interest	L	T	Open	01/25/12	L		fund source - parent gift
19. Goldman Sachs Bank USA - CD	A	Interest	L	T	Open	01/25/12	L		fund source - parent gift
20. Goldman Sachs Bank USA - CD	A	Interest	L	T	Open	01/25/12	L		fund source - parent gift
21. Discover Bank - CD	A	Interest	M	T	Open	05/09/12	M		fund source-parent gift
22. State Bank of India - CD	A	Interest	L	T	Open	10/12/12	L		
23. IRA Acct. -Total Assets in Accounts - Detail Follows	C	Dividend	M	T					
24. - IRA Acct. - (GNMA) Govt. Natl. Mtg. Ass Pool - Commerce					Matured (part)	12/31/12	J		normal principal paydowns
25. - IRA Acct - Vanguard acct - Prime MM FD					Redeemed (part)	07/03/12	L		a MMKT acct-no detail req
26. - IRA Acct - Vanguard acct - Prime MM FD					Redeemed (part)	12/05/12	J		a MMKT acct-no detail req
27. - IRA Acct - Fidelity Select Health Care					Buy (add'l)	12/31/12	J		only income reinvestmenst
28. - IRA Acct - T.Rowe Price New ERA					Buy (add'l)	12/31/12	J		only income teinvestments
29. Trust # 1 - Total Assets of Trust -Asset Detail Follows	E	Int./Div.	P1	T	Buy (add'l)	12/31/12	J		Inc includes Life Ins div.
30. - Trust # 1 - Guardian Life Ins. - Cash Value					Buy (add'l)	12/31/12	J		Incr. CV for Life INS DIV
31. - Trust # 1 - Northwestern Mutual Life - Cash Value					Buy (add'l)	12/31/12	J		Incr CV for Life Ins DIV
32. - Trust # 1 -(now) Met Life Ins. Policy - Term -									
33. - Trust # 1 - Commerce Bank N.A., Ckg acct.									
34. - Trust # 1 - Comm Bank NA - Kansas City Mo					Buy (add'l)	02/28/12	K		mmkt acct - no detail req

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 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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 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. - Trust # 1 -US Treas Note					Matured	08/31/12	L		no gain or (loss)
36. - Trust # 1 - FHLB Callable 02/24/12					Redeemed	02/28/12	K		no gain or (loss)
37. - Trust # 1 - GE Capital Bank - CD					Buy	08/31/12	L		
38. Trust # 2 - Total Assets of Trust -Detail Follows	E	Int./Div.	P1	T					
39. - Trust # 2 - Vanguard Fed MM Portfolio, Philadelphia, Pa.									
40. - Trust # 2 - Vanguard Health Care Fund Inv					Buy (add'l)	12/31/12	J		reinvested div. only
41. - Trust # 2 - Vanguard Total Stock Mkt Idx FundFund					Buy (add'l)	12/31/12	J		reinvested div. only
42. - Trust # 2 - Goldman Sachs ILA Federal Portfolio									
43. - Trust # 2 - Commerce Bank NA - ckg acct.									
44. - Trust # 2 - Commerce Bank NA - Ckg acct.					Open	02/03/12	L		oped acct temporarily
45. - Trust # 2 - Commerce Bank NA - Ckg acct.					Closed	03/22/12	L		closed the temporary acct
46. - Trust #2 - Johnson Cnty Ks Unified School GO									
47. - Trust #2 - CD at Commerce Bank, KC, Mo					Matured	08/24/12	L		N/C but renewed 8-24-12
48. - Trust #2 - Columbus Bk & Trust - CD					Matured	01/17/12	L		CD - no gain or (loss)
49. - Trust # 2 - Derby Ks. Gen Oblig Bds					Matured	12/01/12	L		no gain or (loss)
50. - Trust # 2 - GE Mony Bank - CD - 7-1-13									
51. - Trust # 2 - CIT Bank CD 11/25/13									

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 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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 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. - Trust # 2 - FHLB -callable 5/23/12					Redeemed	05/23/12	K		no gain or (loss)
53. - Trust # 2 - FFCB Callable - 8/15/12					Redeemed	08/15/12	L		no gain (loss)
54. - Trust # 2 FHLB - callable - 2/24/12					Redeemed	02/28/12	K		no gain (loss)
55. - Trust # 2 FANNIE MAE callable 9-28-12					Redeemed	06/28/12	M		no gain (loss)
56. - Trust # 2 - Goldman Sachs Bk USA CD - 5-30-13					Buy	05/30/12	K		
57. - Trust # 2 - Bank of China (NY) - CD - 9-30-13					Buy	03/28/12	L		
58. - Trust # 2 - Sallie Mae Bk /Murray - CD 11/25/13					Buy	08/22/12	L		
59. - Trust # 2 - State Bank of India					Buy	10/12/12	M		
60. - Trust # 2 - Ally Bank - CD - 12/05/14					Buy	12/05/12	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 8 of 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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

The assets and value amount references shown in Part VII which are identified as Trust # 1 are for the full value of the assets held in Trust even though I only own a 1/3 beneficial interest in the Trust. I am the trustee of the Trust.

The assets and value references shown in Part VII which are identified as Trust # 2 are for the full value of the assets held in Trust even though I only own a 1/3 interest in the Trust. I am the trustee of the Trust.

Asset # 16 is a limited partnership interest - I have received periodic gifts from my parents of additional limited ownership interests in this limited partnership from January of 2003 through December 31, 2012. My ownership interest is 33% as of 12-31-12. The partnership's investments are almost exclusively in State Tax Exempt Bonds and Certificates of Deposit. I have no management responsibilities for the activities of this partnership.

Asset # 17 (Fannie Mae Stepup Callable) which was also asset # 17 on prior year report was mislabeled in the prior year report as "FHLB Multi Stepup Callable". That error was corrected on this report by replacing the incorrect label name with the correct label name.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Federman, Arthur B.

Date of Report

05/08/2013

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: **s/ Arthur B. Federman**

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