

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Russell, Barry	2. Court or Organization United States Bankruptcy Court	3. Date of Report 09/04/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2017 to 12/31/2017
5b. ☒ Amended Report		
7. Chambers or Office Address Roybal Federal Building 255 E. Temple Street, Suite 1660 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.	Director	L.A. FBA Medal of Valor, Non-Profit
2.	Director	Western Justice Center Foundation, Non-Profit
3.	Director	Activity Source for Seniors, Inc., Non-Profit
4.	Director	L.A. FBA Legal Education Foundation, Non-Profit
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 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. 2017	Book Royalty, Thomson-West	\$41,603.00
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. California Bankruptcy Forum	May 18-21, 2017	San Diego, CA	Bankruptcy Lecture	Meals, Hotel & Transportation
2. Law & Economics Center, George Mason University Antonin Scalia Law School	December 3-8, 2017	Orange, CA	Educational Program	Meals, Hotel & Transportation
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. Southland Civic Credit Union, Los Angeles CA	C	Interest	M	T					
2. American Tax Credit Prop II, LTD. Partnership	A	Interest	J	U					
3. Time Share - Palm Springs, CA (see Part VIII for add'l information)		None	J	R					
4. MSFT	A	Dividend	J	T					
5. LUCENT	A	Dividend	J	T					
6. CISCO	A	Dividend	J	T					
7. AOL	A	Dividend	J	T					
8. IBM	A	Dividend	J	T					
9. YHOO	A	Dividend	J	T					
10. ITEL	A	Dividend	J	T					
11. E-TRADE	A	Dividend	J	T					
12. VTSS	A	Dividend	J	T					
13. MCI	A	Dividend	J	T					
14. AMAT	A	Dividend	J	T					
15. Charles Schwab & Co., Inc. (L&S Advisors) (See Part VIII)	A	Dividend	M	T					
16. AXDX	A	Dividend	J	T	Buy	05/02/17	J		
17. AXDX	A	Dividend			Sold	10/17/17	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. ATVI	A	Dividend	J	T	Sold (part)	05/11/17	J	A	
19. ATVI	A	Dividend	J	T	Sold (part)	09/13/17	J	A	
20. ALK	A	Dividend			Sold	05/02/17	J		
21. BABA	A	Dividend	J	T	Buy (add'l)	01/25/17	J		
22. BABA	A	Dividend	J	T	Sold (part)	02/16/17	J	A	
23. ATI	A	Dividend	J	T	Buy	11/07/17	J		
24. ATI	A	Dividend			Sold	11/28/17	J		
25. GOOGL	A	Dividend	J	T	Sold (part)	03/27/17	J	A	
26. AMZN	A	Dividend	J	T					
27. AAPL	A	Dividend	J	T	Sold (part)	05/19/17	J	A	
28. OZRK	A	Dividend			Sold	05/19/17	J		
29. BHP	A	Dividend			Sold	02/22/17	J	A	
30. AVGO	A	Dividend			Sold	05/15/17	J	A	
31. CELG	A	Dividend	J	T	Buy (add'l)	02/24/17	J		
32. CELG	A	Dividend	J	T	Sold (part)	10/26/17	J		
33. PLCE	A	Dividend	J	T	Buy	03/08/17	J		
34. PLCE	A	Dividend			Sold (part)	09/13/17	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. CSGP	A	Dividend	J	T	Buy	05/11/17	J		
36. CSGP	A	Dividend	J	T	Buy (add'l)	08/30/17	J		
37. CSGP	A	Dividend	J	T	Sold (part)	10/26/17	J	A	
38. CSGP	A	Dividend			Sold	12/21/17	J	A	
39. EA	A	Dividend			Sold (part)	10/27/17	J	A	
40. EA	A	Dividend			Sold	11/08/17	J	A	
41. FB	A	Dividend	J	T	Sold (part)	05/15/17	J	A	
42. GS	A	Dividend			Sold (part)	05/08/17	J	A	
43. GS	A	Dividend			Sold (part)	08/30/17	J	A	
44. GS	A	Dividend			Sold	11/15/17	J	A	
45. HD	A	Dividend	J	T					
46. INCY	A	Dividend	J	T	Buy	01/09/17	J		
47. INCY	A	Dividend			Sold (part)	04/06/17	J	A	
48. INCY	A	Dividend			Sold (part)	11/28/17	J		
49. ISRG	A	Dividend	J	T	Buy	06/19/17	J		
50. ISRG	A	Dividend			Sold (part)	11/28/17	J	A	
51. JAG	A	Dividend	J	T	Buy	02/22/17	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 \$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 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. JAG	A	Dividend			Sold	06/19/17	J		
53. JPM	A	Dividend	J	T	Sold (part)	09/25/17	J	A	
54. KMG	A	Dividend	J	T	Buy	10/19/17	J		
55. KMG	A	Dividend			Sold	10/19/17	J	A	
56. MLM	A	Dividend	J	T	Buy	03/10/17	J		
57. MLM	A	Dividend	J	T	Buy (add'l)	10/20/17	J		
58. MLM	A	Dividend			Sold (part)	08/17/17	J		
59. MLM	A	Dividend			Sold	11/22/17	J		
60. MELI	A	Dividend	J	T	Buy	09/08/17	J		
61. MELI	A	Dividend	J	T	Sold (part)	10/24/17	J		
62. MGM	A	Dividend			Sold	02/03/17	J	A	
63. MGM	A	Dividend	J	T	Buy	04/04/17	J		
64. MGM	A	Dividend			Sold	10/30/17	J	A	
65. MSFT	A	Dividend	J	T	Sold (part)	03/09/17	J	A	
66. NFLX	A	Dividend	J	T	Sold (part)	03/09/17	J	A	
67. NFLX	A	Dividend			Sold (part)	04/10/17	J	A	
68. NFLX	A	Dividend			Sold (part)	07/18/17	J	A	

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. NTNX	A	Dividend	J	T	Buy	07/21/17	J		
70. NTNX	A	Dividend	J	T	Buy (add'l)	08/15/17	J		
71. NTNX	A	Dividend	J	T	Sold (part)	09/13/17	J	A	
72. NVDA	A	Dividend	J	T	Sold (part)	05/11/17	J	A	
73. NVDA	A	Dividend	J	T	Sold (part)	09/13/17	J	A	
74. NXPI	A	Dividend			Sold (part)	08/30/17	J	A	
75. NXPI	A	Dividend			Sold	09/08/17	J	A	
76. PANW	A	Dividend	J	T	Sold (part)	03/27/17	J		
77. PANW	A	Dividend	J	T	Sold (part)	05/02/17	J		
78. PE	A	Dividend			Sold (part)	03/27/17	J		
79. PE	A	Dividend	J	T	Buy (add'l)	05/08/17	J		
80. PE	A	Dividend			Sold (part)	06/05/17	J		
81. PE	A	Dividend			Sold	06/15/17	J		
82. PXD	A	Dividend	J	T	Buy (add'l)	09/13/17	J		
83. PXD	A	Dividend			Sold (part)	09/26/17	J	A	
84. PFPT	A	Dividend			Sold (part)	03/23/17	J		
85. PFPT	A	Dividend			Sold	10/23/17	J	A	

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 9 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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)

86. REGN	A	Dividend	J	T	Buy	03/15/17	J		
87. REGN	A	Dividend	J	T	Buy (add'l)	03/27/17	J		
88. REGN	A	Dividend			Sold (part)	09/26/17	J	A	
89. MARK	A	Dividend	J	T	Buy	11/15/17	J		
90. MARK	A	Dividend	J	T	Sold (part)	11/20/17	J	A	
91. RCL	A	Dividend	J	T	Buy	08/18/17	J		
92. RCL	A	Dividend			Sold	09/18/17	J		
93. SBAC	A	Dividend	J	T	Sold (part)	02/16/17	J	A	
94. SBAC	A	Dividend	J	T	Sold (part)	03/08/17	J	A	
95. NOW	A	Dividend	J	T	Buy	01/30/17	J		
96. NOW	A	Dividend			Sold (part)	11/16/17	J	A	
97. SHPG	A	Dividend			Sold (part)	07/11/17	J		
98. SHPG	A	Dividend			Sold	07/20/17	J		
99. SHOP	A	Dividend	J	T	Buy	08/30/17	J		
100. SHOP	A	Dividend			Sold	12/07/17	J		
101. SINA	A	Dividend	J	T	Buy	05/19/17	J		
102. SINA	A	Dividend	J	T	Sold (part)	10/03/17	J	A	

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 10 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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)

103. SWKS	A	Dividend	J	T	Sold (part)	05/12/17	J	A	
104. SQ	A	Dividend	J	T	Buy	11/16/17	J		
105. SQ	A	Dividend			Sold	12/14/17	J		
106. SBUX	A	Dividend			Sold (part)	02/03/17	J		
107. SBUX	A	Dividend			Sold	09/28/17	J		
108. TMO	A	Dividend	J	T					
109. USB	A	Dividend			Sold (part)	02/23/17	J	A	
110. USB	A	Dividend			Sold	09/01/17	J	A	
111. ULTA	A	Dividend	J	T	Buy	03/09/17	J		
112. ULTA	A	Dividend			Sold (part)	03/27/17	J	A	
113. ULTA	A	Dividend	J	T	Sold (part)	06/19/17	J	A	
114. UNP	A	Dividend			Sold	08/02/17	J	A	
115. UNH	A	Dividend	J	T	Sold (part)	07/11/17	J	A	
116. VRX	A	Dividend	J	T	Buy	02/16/17	J		
117. VRX	A	Dividend			Sold	03/08/17	J		
118. V	A	Dividend	J	T	Sold (part)	03/27/17	J	A	
119. VMC	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 11 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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)
120. WAGE	A	Dividend			Sold	01/09/17	J		
121. WBA	A	Dividend			Sold	02/03/17	J		
122. XPO	A	Dividend	J	T					
123. YY	A	Dividend	J	T	Buy	09/26/17	J		
124. YY	A	Dividend	J	T	Sold (part)	11/16/17	J	A	
125. ZG	A	Dividend	J	T	Buy	05/11/17	J		
126. ZG	A	Dividend			Sold	11/16/17	J		
127. AMT	A	Dividend	J	T	Sold (part)	09/22/17	J	A	
128. HCLP	A	Dividend	J	T	Buy	09/13/17	J		
129. BIDU	A	Dividend	J	T	Buy	09/13/17	J		
130. BLUE	A	Dividend	J	T	Buy	12/13/17	J		
131. GRUB	A	Dividend	J	T	Buy	10/26/17	J		
132. LRCX	A	Dividend	J	T	Buy	09/19/17	J		
133. MU	A	Dividend	J	T	Buy	12/21/17	J		
134. MOMO	A	Dividend	J	T	Buy	11/27/17	J		
135. NTDOY	A	Dividend	J	T	Buy	11/15/17	J		
136. PYPL	A	Dividend	J	T	Buy	10/25/17	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 \$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 12 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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. SRPT	A	Dividend	J	T	Buy	10/03/17	J		
138. TCEHY	A	Dividend	J	T	Buy	07/11/17	J		
139. VHC	A	Dividend	J	T	Buy	09/13/17	J		
140. DIS	A	Dividend	J	T	Buy	11/08/17	J		
141. ZTS	A	Dividend	J	T	Buy	05/02/17	J		
142. Stifel, Nicolaus & Company TOD Account - see Part VIII for add'l info.	C	Int./Div.	M	T					
143. FB	A	Dividend	K	T	Buy	07/28/17	K		
144. INDUSTRY CA PUB FACS AUTH TAX ALLOC REV RFDG	A	Interest	J	T	Sold (part)	01/05/17	J	A	
145. ANAHEIM CA CMNTY DIST SPL TAX 08 1 PLATINUM	A	Interest	J	T	Buy	07/17/17	J		
146. FRESNO CA PENSION OBLIGS NPFG B/ E TXBL REV	A	Interest	J	T					
147. PUERTO RICO CMNWLTH PUB IMPT AGM B/E	A	Interest	J	T					
148. HEMET CA USD RFDG 2012 ELECT SER A	A	Interest	J	T	Buy	01/13/17	J		
149. GROSSMONT CA UN HIGH SCH DIST RFDG	A	Interest	J	T	Buy	01/05/17	J		
150. CALIFORNIA ST PUB WKS BRD LSE REV DEPT CORR & REHAB SER H B/E	A	Interest	J	T					
151. DAVIS CA SPL TAX CMNTY FACS DIST 2015 1 REV B/E	A	Interest	J	T					
152. NORWALK CA REDEV AGY TAX ALLOC REV RFDG	A	Interest	J	T					
153. INDEPENDENT CITIES CA FIN MOBILE HM REV RFDG	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 13 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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)
154. FEDL NATL MTG ASSN REMIC SER 1994-61 CL E	A	Interest	J	T					
155. AB HIGH INCOME	B	Dividend	K	T	Buy (add'l)	04/04/17	J		
156. OPPENHEIMER STEELPATH MLP INCOME	B	Interest	J	T					
157. SMART TR CA MUN 4	A	Dividend	J	T					
158. SMART TRUST DYNAMIC SECTOR INCM 15	A	Dividend	J	T					
159. SMART TR CA MUN 5	A	Dividend	J	T	Buy	04/04/17	J		
160. SMART TRUST CA MUN 6	A	Dividend	J	T	Buy	06/21/17	J		
161. GUGGENHEIM FLTG RATE & DIV GRWTH 14	A	Dividend	K	T	Buy	07/25/17	J		
162. SMART TRUST CEFA SELECT BDC 10	A	Dividend	J	T	Buy	08/16/17	J		
163. ADVISORS UBIQUITOUS 2015-1	A	Interest			Sold	01/13/17	J	B	
164. ADVISORS BUS DEV CO OPPTY 2015-3	A	Interest			Sold	08/16/17	J		
165. ELKHORN SECTOR NEUTRAL DWA ETF 2	A	Interest			Sold	07/25/17	K	A	
166. GUGGENHEIM CA MUN CEFS 16	A	Dividend	J	T	Sold (part)	06/21/17	J	A	
167. SMART TR CA MUN 2	A	Dividend			Sold	04/04/17	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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

Part VII, No. 3. Time Share - Palm Springs, CA: Purchased in December 13, 1996. Purchase price: \$7,990.00

Part VII, No. 15. Stocks listed in nos. 16-140 in Part VII are part of the L&S Advisors (Charles Schwab) account

Part VII, No. 141. Stocks listed in nos. 142-166 in Part VII are held in a Stifel Nicolas Brokerage Firm Account

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Russell, Barry

Date of Report

09/04/2018

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/ **Barry Russell**

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