

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) Novack, Charles D.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 11/02/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Bankruptcy Court 1300 Clay Street, Courtroom 215 Oakland, CA 94612		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

11/02/2016

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	Thomson Reuters - teaching	\$1,000.00
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. 2015	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. The State Bar of California	10/09/15 - 10/10/15	Anaheim, California	Presentation at State Bar Annual Meeting	Meal, Transportation, and Lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

11/02/2016

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	K
2.	Nordstrom Bank	credit card	K
3.	██████████	tuition	K
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

11/02/2016

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. IRA #1	E	Int./Div.	P1	T					
2. - Schwab Cash and Money Mkt					Buy (add'l)	01/02/15	J		
3.					Sold (part)	01/07/15	J		
4.					Sold (part)	01/15/15	J		
5.					Sold (part)	04/06/15	J		
6.					Buy (add'l)	04/21/15	K		
7.					Sold (part)	04/27/15	K		
8.					Sold (part)	06/03/15	J		
9.					Buy (add'l)	06/15/15	L		
10.					Sold (part)	06/16/15	J		
11.			J		Sold (part)	06/17/15	J		
12.					Sold (part)	06/18/15	K		
13.					Sold (part)	07/06/15	J		
14.					Sold (part)	10/05/15	J		
15.					Sold (part)	12/21/15	J		
16. -Accenture PLC Class A									
17. -Donaldson Company, Inc. (common)					Sold (part)	06/09/15	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 H ~\$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	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 14

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	(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.					Sold (part)	06/10/15	J		
19.					Sold	06/11/15	J		
20.	-Colgate Palmolive Co. (common)				Sold	03/12/15	K		
21.	-Canadian National Railways Co. (common)								
22.	-Cummins, Inc. (common)				Buy	03/12/15	K		
23.	-Estee Lauder Co, Inc., Class A				Buy	08/11/15	K		
24.	-Factset Research System, Inc. (common)								
25.	-Grainger WW, Inc. (common)				Buy (add'l)	06/12/15	J		
26.	-Hormel (common)								
27.	-Metronic, Inc. (common)								
28.	-Nike, Inc. (common)								
29.	-Novo - Nordisk as ADR								
30.	-Polaris Industries (common)				Buy (add'l)	06/12/15	J		
31.	-Praxair, Inc. (common)								
32.	-Scripps Ntwk Interactive (common)				Buy (add'l)	06/12/15	J		
33.	-TJX Companies (common)								
34.	-T. Rowe Price Group (common)				Buy (add'l)	06/12/15	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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	(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. - Toronto Dominion Bank									
36. -United Health Group, Inc (common)									
37. - Walgreens Boots Alliance (common; formerly "Walgreens")									
38. - Xilinx, Inc. (common)					Sold	08/11/15	K		
39. - 361 Managed Futures Strat. Fund C1 1					Buy (add'l)	12/18/15	J		
40. - Doubleline Total Return Bond Fund C1 1					Buy (add'l)	06/15/15	J		
41. - Guggenheim Exch TRD FD Bullet Shares 2015 Corp Bond ETF					Sold (part)	01/12/15	J		
42.					Sold	10/28/15	K		
43. - Guggenheim Ech TRD FD Bullet Shares 2016 Corp Bond ETF					Sold (part)	01/12/15	J		
44.					Buy (add'l)	06/15/15	J		
45.					Sold	10/28/15	K		
46. - Guggenheim Exch. TRD FD Bullet Shares 2017 Corp Bond ETF					Sold (part)	01/12/15	J		
47.					Buy (add'l)	06/15/15	J		
48. - Guggenheim ETF Bullet Shares 2018 Corp Bond					Sold (part)	01/12/15	J		
49.					Buy (add'l)	06/15/15	J		
50. - Guggenheim ETF Bullet Shares 2019 Corp Bond					Buy	04/22/15	K		
51.					Buy (add'l)	06/15/15	J		

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 7 of 14

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52. - Guggenheim ETF Bullet Shares 2020 Corp Bond					Sold (part)	01/12/15	J		
53.					Buy (add'l)	06/15/15	J		
54. -Guggenheim ETF Bullet Shares 2021 Corp Bond					Buy (add'l)	06/15/15	J		
55. - Guggenheim ETF Bullet Shares 2022 Corp Bond					Buy	01/12/15	K		
56.					Buy (add'l)	06/15/15	J		
57. - iShares 2020 ETF New Corporate Ex-Financials Term					Sold (part)	01/12/15	J		
58.					Sold	04/15/15	K		
59. - iShares 3-7 Year Treasury Bond ETF					Buy	10/28/15	K		
60. - iShares Core S&P ETF Midcap					Buy	04/09/15	K		
61.					Buy (add'l)	06/15/15	J		
62. - PIMCO All Asset All Authority CL Inst.					Sold	04/09/15	K		
63. -PIMCO Income Fund Institutional Class					Buy (add'l)	06/02/15	J		
64.					Buy (add'l)	06/15/15	J		
65. - Templeton Global Bond Fund A					Sold	06/15/15	K		
66. - Templeton Global Bond Fund ADV C1					Buy	06/15/15	K		
67. -Vanguard International Equity Index All World					Buy (add'l)	06/15/15	J		
68. - Vanguard Total Bond Fund Market ETF					Buy (add'l)	06/15/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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Novack, Charles D.

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69.					Buy (add'l)	10/28/15	J		
70. - T. Rowe Price Emerging Markets Fund					Buy (add'l)	06/15/15	J		
71. IRA #2	D	Int./Div.	N	T					
72. -Schwab Adv. Cash Reserve					Buy (add'l)	01/02/15	J		
73.					Sold (part)	01/07/15	J		
74.					Sold (part)	01/15/15	J		
75.					Sold (part)	04/06/15	J		
76.					Buy (add'l)	04/21/15	J		
77.					Sold (part)	04/27/15	J		
78.					Buy (add'l)	06/15/15	J		
79.					Sold (part)	06/17/15	J		
80.					Sold (part)	07/06/15	J		
81.					Sold (part)	10/05/15	J		
82.					Sold (part)	11/02/15	J		
83. - Accenture PLC Class A									
84. - Canadian National Railways Co. (common)									
85. - Colgate Palmolive Co. (common)					Sold	03/12/15	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	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

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86. - Cummins Inc.					Buy	03/12/15	J		
87. - Donaldson Company (common)					Sold (part)	06/09/15	J		
88.					Sold (part)	06/10/15	J		
89.					Sold	06/11/15	J		
90. - Estee Lauder Co. Inc. (Class A)					Buy	08/11/15	J		
91. - Factset Research, Inc. (common)									
92. - Grainger WW, Inc. (common)					Buy (add'l)	06/12/15	J		
93. - Hormel (common)									
94. - Medtronic, Inc. (common)									
95. - Nike, Inc. (common)									
96. - Novo Nordisk as ADR									
97. - Toronto Dominion Bank					Buy (add'l)	06/12/15	J		
98. - Polaris Industries (common)					Buy (add'l)	06/12/15	J		
99. - Praxair, Inc. (common)									
100. -Scripps Ntwk Interactive (common)					Buy (add'l)	06/12/15	J		
101. - Xilinx Inc.					Buy (add'l)	06/12/15	J		
102.					Sold	08/11/15	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103. - T. Rowe Price Group (common)									
104. - TJX Companies (common)									
105. - United Health Group (common)									
106. - 361 Managed Futures Strat Fund Cl 1									
107. - Doubleline Total Return Bond Fund Cl 1									
108. - Guggenheim ETF Bullet Shares 2015 Corp Bond Fund ETF					Sold	10/28/15	J		
109. - Guggenheim ETF Bullet Shares 2016 Corp Bond Fund ETF					Sold	10/28/15	J		
110. - Guggenheim ETF Bullet Shares 2017 Corp Bond Fund ETF									
111. - Guggenheim ETF Bullet Shares 2018 Corp Bond ETF									
112. -Guggenheim ETF Bullet Shares 2019 Corp Bond					Buy	04/22/15	J		
113. - Guggenheim ETF Bullet Shares 2020 Corp Bond									
114. -Guggenheim ETF Bullet Shares 2021 Corp Bond									
115. -Guggenheim ETF Bullet Shares 2022 Corp Bond					Buy	01/12/15	J		
116. - iShares 2020 ETF Corp Ex-Financials Term					Sold	04/15/15	J		
117. -iShares Core S&P ETF Midcap					Buy	04/09/15	K		
118. -iShares 3-7 Year Treasury Bond ETF					Buy	10/28/15	K		
119. - PIMCO All Asset All Authority Cl Inst.					Sold	04/09/15	K		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

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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)
120. - PIMCO Income Fund Institutional Class									
121. - Vanguard Total Bond Fund Market ETF					Buy	10/28/15	J		
122. - Vanguard Intl Eqty Index ETF	B								
123. - Vanguard FTSE All World EX US ETF					Buy	04/22/15	J		
124. - T. Rowe Price - Emerging Markets Fund									
125. - Templeton Global Bond Fund									
126. - Walgreens Boots Alliance (common; formerly "Walgreens")									
127. U.S Savings Bonds Type E	A	Int./Div.	J	T					
128. Wells Fargo Bank Accounts	A	Interest	K	T					
129. Fidelity Value Fund	A	Dividend	J	T					
130. Fidelity Cash Reserves	A	Interest	K	T					
131. RBC Wealth Management U.S. Govt Money Market Account	A	Int./Div.	J	T					
132. Vanguard 500 Index IRA # 3	C	Int./Div.	M	T					
133. Fidelity Cal. Muni Market	A	Int./Div.	M	T					
134. Fidelity Puritan Mutual Fund	E	Dividend	N	T	Buy	03/06/15	N		
135.					Buy (add'l)	04/15/15	M		
136. Fidelity Insured Deposit	A	Interest	M	T	Open	03/06/15	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 12 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

11/02/2016

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)
137. Schwab Adv. Cash Reserve	A	Interest	J	T					
138. Vanguard FTSE All World ex-US Index Fund ETF Shares	A	Dividend	J	T					
139. Brown Cap. Mgmt. Small Company Inv. Shares	A	Distribution			Sold	08/05/15	K	C	
140. UBS Cash Fund	A	Interest			Closed	04/17/15	J	A	
141. Fidelity Blue Chip Growth	A	Dividend			Distributed	01/05/15	J		
142. Fidelity Growth Strategies Fund	A	Dividend			Distributed	01/05/15	J		
143. █████ Family LLC		None	J	W					

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 14

Name of Person Reporting

Novack, Charles D.

Date of Report

11/02/2016

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

Investments and Trusts: The fund listed on line 138 was formally referred to as "Vanguard Intl Equity Index Fund." The fund name on line 138 more accurately reflects its name.

Investments and Trusts: IRAs #1 and 2 previously have included a Vanguard "Bond Fund Index." The name of this fund is "Vanguard Total Bond Fund Market ETF." This financial disclosure report has changed the name of this fund.

Investments and Trusts: IRA #2 stated that it partially sold its holding in Magellan Midstream Partners on 03/10/2014. This was incorrect, as IRA #2 fully liquidated its position on that date. As a result, this financial disclosure report does not list any holding in Magellan Midstream Partners.

Investments and Trusts: IRA #2 stated that it fully liquidated its holding in Walgreens on 03/10/2014. This was incorrect, as IRA #2 only partially liquidated its position on that date. As a result, this financial disclosure report continues to state that IRA #2 has a position in that stock (but see below).

Investments and Trusts: On December 31, 2014, IRAs #1 and 2's holdings in Walgreens Company, through a merger, became holdings in Walgreens Boots Alliance. This merger is reflected on lines 37 and 126.

Investments and Trusts: The holdings in Fidelity Value and Fidelity Growth Strategies Fund were held in trust for a child and were transferred to her on 01/05/15.

Investment and Trusts: The 2014 financial disclosure report indicated that IRA #2 still held an interest in Petsmart. It should have stated that IRA #2 full liquidated its position in Petsmart on November 5, 2014 at a value code of "J."

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

11/02/2016

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/ 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
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