

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) BROOKS, SIDNEY B.	2. Court or Organization U.S. BANKRUPTCY COURT	3. Date of Report 09/07/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. BANKRUPTCY JUDGE ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. BANKRUPTCY COURT 721 19TH STREET DENVER CO 80202-2508		
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. Insert signature on last page.		

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.	CO-TRUSTEE	TRUST #3
2.	TRUSTEE	TRUST #1
3.	ADVISOR	WORLD BANK INSOLVENCY INSTITUTE
4.	ADVISOR	U.S. RUSSIA FOUNDATION
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.		

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. VARIOUS	Management fees as Trustee for [REDACTED] Trust #1	\$5,000.00
2. VARIOUS	Distribution from Rollover IRA Account	\$26,367.00
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. 2011	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. U.S. RUSSIA FOUNDATION	MAY 7-17, 2011	MOSCOW & RYAZAN, RUSSIA	CONSUMER/PERSONAL BANKRUPTCY LAW JUDICIAL TRAINING PROGRAM	TRANSPORTATION, LODGING AND MEALS
2. US RUSSIA FOUNDATION	JULY 26-29, 2011	PEORIA, ILLINOIS	BOARD MEETING OF FOUNDATION	TRANSPORTATION, LODGING AND MEALS
3. US RUSSIA FOUNDATION	NOVEMBER 14-16, 2011	NEW YORK, NY	RUSSIAN JUDICIAL TRAINING PROGRAM	TRANSPORTATION AND LODGING
4. US RUSSIA FOUNDATION	NOVEMBER 17-18, 2011	WASHINGTON, DC	WORLD BANK INSOLVENCY CONFERENCE	TRANSPORTATION AND LODGING

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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.		
2.		
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. ENT CU Checking account	A	Interest	J	T					
2. JP Morgan Chase Bank accounts	A	Interest	J	T					
3. 5.44% Colfax LLC, Denver, CO	B	Rent	J	W					
4. Rental property #1 Silverthorne, CO 33.33%	B	Rent	L	W	Donated (part)				
5. 8.3% Interest real property, Frisco, CO		None	K	W					
6. .521% Interest Broadway LLC, Denver, CO	A	Rent	J	W					
7. 5.99% Interest Melbro, Denver, CO		None	J	W					
8. Rental property #2, Denver, CO	D	Rent	N	W					
9. Trust #1: Trustee: Fid: American Inv Co of Am. Fund F2		None	M	T					
10. Trust #1: Trustee: Fid: American Inv Co of Am Fund CL A		None	M	T	Buy (add'l)	9/19/11	J		
11. Trust #1: Trustee: Key Bank Account		None	M	T					
12. Trust #1: Trustee: Fid: American Wash Mutual Inves F2		None	M	T	Buy (add'l)	12/19/11	J		
13. Trust #1: Trustee: Fidelity: Mutual Series Fund CLA		None	M	T	Buy (add'l)	12/20/11	J		
14. Trust #1: Trustee: Fidelity: American Balanced		None	O	T	Buy (add'l)	9/14/11	J		
15. Trust #1: Trustee: Fidelity: Berkshire Hathaway		None	O	T					
16. Trust #1: Trustee: 50% Int real property, Frisco, CO		None	M	W					
17. Trust #1: Trustee: 3.125% Int Brod LLC, Denver, CO		None	K	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	

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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)

18. ☐ Trust #3: Trustee: Fid: American Wash Mutual Investors A		None	M	T	Buy (add'l)	12/19/11	J		
19. ☐ Trust #3: Trustee: 8.33% Int real property, Frisco, CO		None	K	W					
20. ☐ Trust #3: Trustee: .521% Int Broadway LLC, Denver, CO		None	J	W					
21. ☐ Trust #1: Trustee: Fid: Fin Corp CPN FICO Strips 3/12		None	K	T	Buy (add'l)	12/31/11	J		
22. ☐ y Trust #1: Trustee: Fid: a Fed Nat Mtg Assn Debs coup 5/16		None	M	T					
23. ☐ Trust #1: Trustee: Fid: Fed Home Loan Mtg Corp 3/18		None	K	T					
24. ☐ Trust #1: Trustee: Fid: Fin Corp CPN FICO Strip 6/18		None	J	T					
25. ☐ Trust #1: Trustee: Fid: Fin Corp CPN FICO Strips 12/18		None	J	T					
26. ☐ Trust #1: Trustee: Fid: Fed Jud Off Bldg TR Zero 2/19		None	K	T					
27. ☐ Trust #1: Trustee: Fid: Fed Home Ln Mtg Corp CPN 3/19		None	J	T					
28. ☐ Trust #1: Trustee: Fid: Natl Mtg Deb Gen Int Pmt 7/19		None	J	T					
29. ☐ Trst #1: Trustee: Fid: Res. Fdg Corp Fed Bk Ent CPN 7/19		None	J	T					
30. ☐ Trst #1: Trustee: Fid: Res FDG Corp Ser B Int Pmt 10/20		None	J	T					
31. ☐ Trust #1: Trustee: Fid: Tenn Vy Fed Bk Entry Gen 11/20		None	L	T					
32. ☐ Trst #1: Trustee: Fid: Stmt Ln Mktg Assn Zero CPN 10/22		None	J	T					
33. ☐ Trust #3: Trustee: Fid: Fin Corp CPN FICO Strips 6/12		None	M	T					
34. ☐ Trust #1: Trustee: Fid: Metro Pier & Expo 12/11		None			Matured	12/15/11	K	A	

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35. Trust #1:Trustee: Fid: Modesto CA HSD 8/12		None	K	T					
36. Trust #1:Trustee: Fid: San Leandro CA USD G/O 8/12		None	M	T					
37. Trst #1:Trustee:Fid: Sunrise FLA Util Sysr RFD6 10/12		None	K	T					
38. Trust #1:Trustee: Fid: Las Virgenes CA USD 11/12		None	J	T					
39. Fidelity IRA Acct: Berkshire Hathaway CLB	A	Dividend	K	T	Sold (part)	11/09/11	K	D	
40. Fidelity Municipal Money Market	A	Dividend			Sold	02/10/11	J	A	
41. Fidelity IRA Acct: Fidelity Cash Reserve	A	Dividend	J	T					
42. Trust #1: Trustee: Fidelity: Municipal Money Mkt		None	O	T					
43. Wells Fargo Bank Acct	A	Interest	M	T					
44. Trust #3: Trustee: Wells Fargo Frkln Incml Fd Cls C		None	J	T					
45. Trust #3: Trustee: Wells Fargo Cash Fund		None	J	T					
46. Trust #3; Trustee Fid: Fid Mun Mny Fd		None	K	T					
47. Trust #3: Trustee: Fid: Fid: Fairholm Fd		None	K	T	Buy (add'l)	12/16/11	J		
48. Trust #3: Trustee Fid: 1st Eagle GLB CLA		None	L	T	Buy (add'l)	12/14/11	J		
49. Trust #1 Trustee: Fid: Central Erp & Rus. FD		None	L	T	Buy (add'l)	1/28/11	J		
50. Trust #1 Trustee Fid: Petro and Res. Corp		None	M	T	Buy (add'l)	12/27/11	J		
51. Trust #1:Trustee Fid: Wesco Finl. Corp		None			Sold	6/28/11	M	A	

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52. Trust #3: Trustee Fid: Dodge and Cox Int Stk Fund		None	K	T	Buy (add'l)	12/20/11	J		
53. Fid:Central Europe & Russia Fd	A	Dividend			Sold	02/07/11	J	A	
54. Trust #1: Trustee Fid:Florida PW & LT 2/13		None	K	T					
55. Trust 1: Trustee Fid:Seariver Maritime 9/12		None	M	T					
56. Trust 1: Trustee Fid:Am Cap Inc. Builders CL F2		None	M	T					
57. Trust 1: Trustee Fid: Swiss Helvetia FD		None	L	T	Buy (add'l)	8/30/11	J		
58. Trust1: Trustee Fid:T Rowe Price Int. Bond		None	M	T	Buy (add'l)	12/30/11	J		
59. Trust 1: Trustee Fid: Franklin Utilities Adv		None	L	T	Buy (add'l)	12/5/11	J		
60. Fid IRA St Joes Com.	A	Dividend			Sold	08/08/11	J	A	
61. Trust #1 Trustee Fid: Fairholme Fund		None	L	T	Buy (add'l)	12/15/11	J		
62. Trust #1: Trustee Fid: W/M Wrigley Jr Co Notes 7/15		None	L	T					
63. Trust #1: Trustee Fid: Bank of the West Account		None	N	T					
64. Trust #1 Trustee 14.06% Interest Bannock St Den		None	M	W					
65. Fidelity IRA Petro & Res Corp	A	Dividend	K	T	Sold (part)	01/06/11	J	A	
66. IRA: Morgan Stanley Money Market	A	Dividend	J	T					
67. IRA: Morgan Stanley CEO	A	Dividend			Sold	5/20/11	J	A	
68. IRA: Morgan Stanley DBOEY	A	Dividend			Sold	7/12/11	J	A	

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69. ☐ IRA: Morgan Stanley EXPGY	A	Dividend	J	T	Sold (part)	5/26/11	J	A	
70. ☐ IRA: Morgan Stanley GVDNY	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
71. ☐ IRA: Morgan Stanley JUPIY	A	Dividend	J	T	Buy (add'l)	9/28/11	J		
72. ☐ IRA: Morgan Stanley AHONY	A	Dividend	J	T					
73. ☐ IRA: Morgan Stanley NSRGY	A	Dividend	J	T	Sold (part)	2/15/11	J	A	
74. ☐ IRA: Morgan Stanley NVO	A	Dividend	J	T	Sold (part)	3/23/11	J	A	
75. ☐ IRA: Morgan Stanley RIO	A	Dividend	J	T					
76. ☐ IRA: Morgan Stanley RHHBY	A	Dividend	J	T	Buy (add'l)	11/21/11	J		
77. ☐ IRA: Morgan Stanley SBGSY	A	Dividend	J	T	Buy (add'l)	9/16/11	J		
78. ☐ IRA: Morgan Stanley SQM	A	Dividend	J	T	Sold (part)	5/20/11	J	A	
79. ☐ IRA: Morgan Stanley UN	A	Dividend	J	T	Sold (part)	11/21/11	J	A	
80. ☐ IRA: Morgan Stanley VWO	A	Dividend	K	T	Buy (add'l)	11/16/11	J		
81. ☐ IRA: Morgan Stanley VOD	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
82. ☐ IRA: Morgan Stanley ALMAX	A	Dividend	K	T					
83. ☐ IRA: Morgan Stanley BPRAX	A	Dividend	K	T	Buy (add'l)	6/2/11	J		
84. ☐ IRA: Morgan Stanley IGNAX	A	Dividend	K	T					
85. ☐ IRA: Morgan Stanley HSKAX	A	Dividend	K	T	Buy (add'l)	11/07/11	J		

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86. ☐ IRA: Morgan Stanley JLCAX	A	Dividend	L	T					
87. ☐ IRA: Morgan Stanley LIGRX	A	Dividend	M	T	Buy (add'l)	01/06/11	J		
88. ☐ IRA: Morgan Stanley FMS	A	Dividend	J	T	Buy (add'l)	11/8/11	J		
89. ☐ IRA: Morgan Stanley LNEGY	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
90. ☐ IRS: Morgan Stanley NVS	A	Dividend	J	T	Buy (add'l)	12/20/11	J		
91. ☐ IRA: Morgan Stanley RUK	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
92. ☐ IRA: Morgan Stanley SGSOY	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
93. ☐ IRA: Morgan Stanley SDXAY	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
94. ☐ IRA: Morgan Stanley TSCDY	A	Dividend	J	T	Buy (add'l)	11/16/11	J		
95. ☐ IRA: Morgan Stanley WSH	A	Dividend	J	T	Buy (add'l)	09/28/11	J		
96. ☐ Acct: Morgan Stanley AWPAX (X)	A	Dividend	J	T					
97. ☐ Acct: Morgan Stanley SLVAX (X)	A	Dividend	J	T					
98. ☐ Acct: Morgan Stanley DEVLX	A	Dividend	J	T	Buy	8/19/11	J		
99. ☐ Acct: Morgan Stanley WLGAX (X)	A	Dividend	J	T					
100. ☐ Acct: Morgan Stanley JAMCX (X)	A	Dividend	J	T					
101. ☐ Acct: Morgan Stanley NMBAX (X)	A	Dividend	J	T					
102. ☐ Acct: Morgan Stanley FLTDX	A	Dividend	J	T	Buy	8/12/11	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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BROOKS, SIDNEY B.

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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)
103. ☐ Employer Retirement Vanguard Target 2015	A	Dividend	K	T	Buy	3/31/11	K		
104.									

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

Line 4- Two percentage interests of 33% each gifted to relatives

Line 10- In 2011 FID:American Inv CO of Am Fund C1 B converted to C1 A

Line 96 AWPAX purchased 12/8/08 Value Code J inadvertently omitted from earlier reports

Line 97 SLVAX purchased 7/28/09 Value Code J inadvertently omitted from earlier reports

Line 99 WLGAX purchased 12/8/08 Value Code J inadvertently omitted from earlier reports

Line 100 JAMCX purchased 12/8/08 Value Code J inadvertently omitted from earlier reports

Line 101 NMBAX purchased 7/8/08 Value Code J inadvertently omitted from earlier reports

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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/ **SIDNEY B. BROOKS**

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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