

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Thompson , Kathleen	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 04/08/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 21041 Burbank Blvd. Woodland Hills, CA 91367		
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.	Trustee	Trust #1
2.		
3.		
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.		

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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.)*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. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. **Sun Life Financial (whole life common shares)	A	Dividend	J	T					
2. **Wells Fargo Bank	A	Interest	J	T					
3. **IRA #1 Edward Jones									
4. **AAPL	A	Dividend	L	T					
5. **Edward Jones IRA #2									
6. **DODIX	A	Dividend	J	T	Buy	03/06/13	J	A	
7. **DODIX					Buy	09/24/13	J	A	
8. **DODIX					Sold (part)	11/15/13	J	A	
9. **DODFX	A	Dividend	J	T	Sold (part)	09/24/13	J	A	
10. **NAMAX	A	Dividend	J	T	Sold (part)	09/24/13	J	A	
11. **EIBIX	A	Dividend	J	T	Buy	09/24/13	J	A	
12. **HDGIX	A	Dividend	J	T	Sold (part)	09/24/13	J	A	
13. LTRFX	A	Dividend	J	T	Sold	02/12/13	J	A	
14. **LSHIX	A	Dividend	J	T	Buy	09/24/13	J	A	
15. **LSHIX					Sold	11/15/13	J	A	
16. **MEIIX	A	Dividend	J	T	Sold (part)	02/12/13	J	A	
17. **MEIIX					Sold (part)	09/24/13	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 ~\$250,000,001 - \$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	

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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				
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18. WOBDX	A	Dividend	J	T	Sold	02/12/13	J	A	
19. WOBDX					Buy	09/24/13	J	A	
20. WOBDX					Sold (part)	10/28/13	J	A	
21. **IGLIX	A	Dividend	J	T	Sold (part)	09/24/13	J	A	
22. **JFMXX	A	Interest	J	T	Buy	09/24/13	J	A	
23. OIBYX	A	Dividend	J	T	Sold	08/30/13	J	A	
24. **TGVIX	A	Dividend	J	T	Sold (part)	02/12/13	J	A	
25. **TGVIX					Sold (part)	09/24/13	J	A	
26. **PRDGX	A	Dividend	J	T	Sold (part)	09/24/13	J	A	
27. MCFDX/MPAFX	A	Dividend	J	T	Sold	02/12/13	J	A	
28. **CRSOX	A	Dividend	J	T	Buy	09/24/13	J	A	
29. **MWTIX	A	Dividend	J	T	Buy	09/24/13	J	A	
30. **PRCIX	A	Dividend	J	T	Buy	09/24/13	J	A	
31. **CWBFX	A	Dividend	J	T					
32. **SAGIX	A	Dividend	J	T	Buy	02/12/13	J	A	
33. **SAGIX					Sold (part)	09/24/13	J	A	
34. **MFEIX	A	Dividend	J	T	Buy	02/12/13	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	
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35. **MFEIX					Sold (part)	09/24/13	J	A	
36. **MINIX	A	Dividend	J	T	Buy	02/12/13	J	A	
37. **MINIX					Sold (part)	09/24/13	J	A	
38. **MGOYX	A	Dividend	J	T	Sold (part)	09/24/13	J	A	
39. **HLLVX	A	Dividend	J	T	Buy	02/12/13	J	A	
40. **HLLVX					Buy	09/24/13	J	A	
41. **DISRX	A	Dividend	J	T	Buy	02/12/13	J	A	
42. **DISRX					Sold (part)	09/24/13	J	A	
43. **TGBAX	A	Dividend	J	T	Buy	08/30/13	J	A	
44. **TGBAX					Buy	09/24/13	J	A	
45. **FVHIX	A	Dividend	J	T	Buy	09/24/13	J	A	
46. **HLLVX					Buy	09/24/13	J	A	
47. **WBFFX	A	Dividend	J	T	Buy	09/24/13	J	A	
48. **BBTBX	A	Dividend	J	T	Buy	10/28/13	J	A	
49. **BBTBX					Buy	11/15/13	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Section 1. The only asset in Trust #1 is [REDACTED].

Section VII. Investments and Trusts

—

**=an asset as of 12/31/13

Line 4- Lists the only asset APPL in IRA #1 Edward Jones

Line 5- This is a heading for the assets in IRA #2 Edward Jones that are listed on Line 6 and following.

Former Line 9 reported on FDR 2012 as BAGIX was all sold in 2012 as reported on FDR 2012.

Former Line 33 reported on FDR as MCFDX (Managers Cadence Capital Appreciation Fund) appears on account records as MPAFX (Managers Cadence Capital Appreciation Fund) in 2013; all sold as of 2/12/13.

Former line 38 reported on FDR 2012 as FHAIX (purchased 6/27/2012) should have been reported as FVHIX; the proper symbol has been confirmed by reference to a confirmation trade sheet for 2012.

Response to your letter of inquiry of June 30, 2014:

Your letter states that the assets described as "Cba Aggressive Growth" and "MFS Growth Fund CI 1" were listed in Part VII, page 6, lines 39 and 40 on my prior report for 2012 but are not listed on my report for 2013. The symbol for Cba Aggressive Growth is SAGIX. SAGIX is listed on the current report (2013) at lines 32 and 33. The symbol for MFS Growth Fund CI 1 is MEIIX. MEIIX is listed on the current report (2013) at lines 16 and 17.

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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/ Kathleen Thompson**

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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Washington, D.C. 20544