

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Brown, Elizabeth E.	2. Court or Organization U.S. Bankruptcy Court for the District of Colorado	3. Date of Report 04/26/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 721 19th Street Denver Colorado 80202		
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 - see Part VII & VIII
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. 01/01/15	University of Colorado School of Law - teach adjunct class in bankruptcy law during Fall 2016 semester
2. 01/01/15	University of Denver Sturm College of Law - teach adjunct class in bankruptcy law during Spring 2016 semester
3. 01/01/15	National Conference of Bankruptcy Judges - part-time position as editor of American Bankruptcy Law Journal

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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. 2016	University of Colorado School of Law - Teaching	\$9,000.00
2. 2016	University of Denver Sturm College of Law - Teaching	\$6,000.00
3. 2016	National Conference of Bankruptcy Judges - ABLJ Editor	\$6,000.00
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. 2016	psychotherapist private practice income - self employed
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. American Bankruptcy Institute	01-21-2016 to 01-22-2016	Denver, CO	Speaker at Rocky Mountain conference	Meals
2. National Conference of Bankruptcy Judges	03-14-2016 to 03-15-2016	Fort Worth, TX	ABLJ Journal Editors' Meeting at Mid-Year Meeting & conference	Transportation, Meals, Lodging
3. American College of Bankruptcy - Tenth Circuit Program	05-19-2016 to 05-21-2016	Kansas City, MO	Speaker at Educational Program for Bankruptcy Professional	Transportation, Meals, Lodging
4.				

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5.	National Conference of Bankruptcy Judges	10-25-2016 to 10-29-2016	San Francisco, CA	ABLJ Journal Editors' Meeting, Education Program Committee Member, and Annual Meeting	Transportation, Meals, Lodging
6.	New York Bankruptcy Bar Conference	11-10-2016 to 11-13-2016	Cooperstown, NY	Speaker at Annual Meeting	Transportation, Meals, 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.)*

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. Trust #1 Life Ins Policy (see VIII)		None	L	T					
2. 1st Bank of Republic Plaza N.A. Trust #1 Deposit Account		None	J	T					
3. 1st Bank of Republic Plaza N.A. Checking Account	A	Int./Div.	K	T					
4. 1st Bank of Republic Plaza N.A. Savings Account	A	Int./Div.	J	T					
5. Fundamental Investors in RBC Dain IRA	A	Dividend	L	T					
6. Growth Fund of Amer. in RBC Dain IRA	A	Dividend	K	T					
7. Investment Co. of Amer. in RBC Dain IRA	A	Dividend	K	T					
8. Washington Mutual Inv in RBC Dain IRA	A	Dividend	K	T					
9. New Perspective Fund in RBC Dain IRA	A	Dividend	K	T					
10. Gov't Nat'l Mtg. Assn in RBC Dain IRA	A	Interest	J	T					
11. Amer. Balanced in RBC Dain IRA	A	Dividend	K	T					
12. Cash & Cash equivalents in RBC Dain IRA Acct	A	Dividend	J	T					
13. iShares TR in RBC Dain IRA Acct	A	Dividend	K	T					
14. Cap World Grwth & Incm-! in RBC Dain IRA	A	Dividend	J	T					
15. Scholars Choice College Savings Prgm - Age Based		None	L	T					
16. Int'l Growth & Income in RBC Acct. #2	A	Dividend	J	T					
17. Income Fund of Am in RBC Acct. #2	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	

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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				
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18. Cash & Cash equivalents in RBC Dain Acct #2	A	Int./Div.	J	T					
19. Ashton Growth Fd	A	Dividend	J	T					
20. Artisan Value Fd	A	Dividend	J	T					
21. Aston Sm Cap Fd		None	J	T					
22. Advisors Inner Circle Fd		None	J	T					
23.									
24. Dodge & Cox Stock Fd	A	Dividend	K	T					
25. Ivy Lg Cap Gwth Fd	A	Dividend	J	T					
26. Loomis Sayles Inv	A	Dividend	J	T					
27.									
28. Thornburg Intl Value Fd		None	J	T					
29.									
30.									
31. Cash & Cash equivalents in RBC WM IRA #2	A	Dividend	K	T					
32. 1st Bank of Republic Plaza N.A. Savings Acct #2	A	Int./Div.	J	T					
33. 1st Bank of Republic Plaza N.A. Savings Acct #3	A	Int./Div.	J	T					
34. iShares 3-7 yr. Treasury FRA #2	A	Dividend	K	T					

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	
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35. Riverpark Wedgewood Fund	A	Dividend	J	T					
36. SPOR S&P 500 ETR	A	Dividend	J	T	Buy	02/22/16	J		
37.									
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53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									
61.									

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

Part I, Positions: Trust #1 is a family trust over which I am the trustee and a beneficiary. Trust holds only a life insurance policy. There are no longer any yearly additions to the trust as policy is now fully paid. Valuation of policy reflected in Section VII represents the cash surrender value of policy.

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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/ **Elizabeth E. Brown**

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