

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) Nelms, Russell F.	2. Court or Organization U. S. Bankruptcy Court, Northern District of Texas	3. Date of Report 06/09/2017
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 Eldon B Mahon U. S. Courthouse, Room 206 501 W. Tenth St. Fort Worth, Texas 76102		
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.	

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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	LexisNexis; Writing/Editing	\$3,000.00
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.	
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. State Bar of Texas Bankruptcy Law Section	3/9-3/16/2016	Buenos Aires, Argentina	Attend 13th Annual International Bankruptcy Law Seminar	Airfare, lodging, meals, CLE, tours
2. Western District of Texas Bankruptcy Bar	4/27-4/29/2016	Fredericksburg, TX	Attend/Speak at Bench Bar Conference	Mileage, lodging, meals
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. Northwestern Mutual Whole Life Policy	C	Dividend	K	T					
2. IRA #4 Global Fin. Advisors Conservative Portfolio	A	Dividend			Sold	06/28/16	N		
3. IRA #5 Global Fin. Advisors Conservative Portfolio	A	Dividend			Sold	06/28/16	J		
4. Security Benefit Annuity-Guaranteed Lifetime Income	D	Dividend	M	T					
5. Schwab IRA #1*									
6. PHB	A	Dividend	J	T	Buy	07/11/16	J		
7. SCHX	A	Dividend	J	T	Buy	07/11/16	J		
8. SCHA	A	Dividend	J	T	Buy	07/11/16	J		
9. Schwab IRA #2*									
10. SCHH	A	Dividend	J	T	Buy	07/11/16	J		
11. IAU	A	Dividend	J	T	Buy	07/11/16	J		
12. SHYG	A	Dividend	J	T	Buy	07/11/16	J		
13. SCHE	A	Dividend	J	T	Buy	07/11/16	J		
14. FNDE	A	Dividend	J	T	Buy	07/11/16	J		
15. FNDF	A	Dividend	J	T	Buy	07/11/16	J		
16. FNDC	A	Dividend	J	T	Buy	07/11/16	J		
17. FNDX	A	Dividend	J	T	Buy	07/11/16	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. FNDA	A	Dividend	J	T	Buy	07/11/16	J		
19. SCHR	A	Dividend	J	T	Buy	07/11/16	J		
20. SCHF	A	Dividend	J	T	Buy	07/11/16	J		
21. SCHC	A	Dividend	J	T	Buy	07/11/16	J		
22. SCHX	A	Dividend	J	T	Buy	07/11/16	J		
23. SCHA	A	Dividend	J	T	Buy	07/11/16	J		
24. SCHP	A	Dividend	J	T	Buy	07/11/16	J		
25. ITR	A	Dividend	J	T	Buy	07/11/16	J		
26. EMLC	A	Dividend	J	T	Buy	07/11/16	J		
27. VNQI	A	Dividend	J	T	Buy	07/11/16	J		
28. VMBS	A	Dividend	J	T	Buy	07/11/16	J		
29. BNDX	A	Dividend	J	T	Buy	07/11/16	J		
30. Schwab IRA #3*									
31. SCHH	A	Dividend	J	T	Buy	07/11/16	J		
32. IAU	A	Dividend	J	T	Buy	07/11/16	J		
33. SHYG	A	Dividend	K	T	Buy	07/11/16	J		
34. SCHE	A	Dividend	J	T	Buy	07/11/16	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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35. FNDE	A	Dividend	J	T	Buy	07/11/16	J		
36. FNDF	A	Dividend	K	T	Buy	07/11/16	J		
37. FNDC	A	Dividend	J	T	Buy	07/11/16	J		
38. FNDX	A	Dividend	K	T	Buy	07/11/16	J		
39. FNDA	A	Dividend	K	T	Buy	07/11/16	J		
40. SCHR	A	Dividend	J	T	Buy	07/11/16	J		
41. SCHF	A	Dividend	J	T	Buy	07/11/16	J		
42. SCHC	A	Dividend	J	T	Buy	07/11/16	J		
43. SCHX	A	Dividend	K	T	Buy	07/11/16	J		
44. SCHA	A	Dividend	J	T	Buy	07/11/16	J		
45. SCHP	A	Dividend	J	T	Buy	07/11/16	J		
46. ITR	A	Dividend	J	T	Buy	07/11/16	J		
47. EMLC	A	Dividend	J	T	Buy	07/11/16	J		
48. VNQI	A	Dividend	J	T	Buy	07/11/16	J		
49. VMBS	A	Dividend	J	T	Buy	07/11/16	J		
50. BNDX	A	Dividend	J	T	Buy	07/11/16	J		

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

*Each of these accounts invests only in ETFs and Closed End Funds. I select the investment strategy (moderate), and Schwab chooses the funds accordingly. Each of the accounts is subject to periodic rebalancing. So, in order to keep any particular account in line with the target diversification, funds may be periodically bought and sold. This is done without any input from me.

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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/ Russell F. Nelms**

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