

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Carroll, Peter H.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S. Bankruptcy Court, Central District of California                                                                                                                                                                                             | <b>3. Date of Report</b><br><br>05/03/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Bankruptcy Judge                                                         | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>United States Bankruptcy Court<br>1415 State Street, Suite 230<br>Santa Barbara, CA 93101-2511                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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.)*

DATE

SOURCE AND TYPE

INCOME  
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

|                                |                 |                   |                               |                                                     |
|--------------------------------|-----------------|-------------------|-------------------------------|-----------------------------------------------------|
| 1. California Bankruptcy Forum | May 16-18, 2014 | Santa Barbara, CA | Speaker at bankruptcy seminar | Reimbursement for registration fee, meals & lodging |
|--------------------------------|-----------------|-------------------|-------------------------------|-----------------------------------------------------|

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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Time Share, Reno, NV                                                                                                     |                                         | None                                          | J                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Unimproved Lot, Calaveras County, CA                                                                                     |                                         | None                                          | M                                               | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. I.R.A. # 3A                                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/21/14                | K                               | A                              |                                                                   |
| 4. -- Dodge & Cox Income Fund                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 5. --Dodge & Cox Int'l Stock Fund                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 6. I.R.A. # 3B                                                                                                              | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. -- T. Rowe Price Media & Tele. Fund                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 8. -- T.Rowe Price U.S. Treasury Money<br>Market                                                                            |                                         |                                               |                                                 |                                           | Buy                                             | 11/24/14                | K                               |                                |                                                                   |
| 9. TIAA/CREF Retirement Accounts                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 12/1/14                 | J                               | A                              |                                                                   |
| 10. -- TIAA Traditional Annuity                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. I.R.A. # 4                                                                                                              | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. -- T. Rowe Price Equity Fund                                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 7/22/14                 | J                               | A                              |                                                                   |
| 13. -- T. Rowe Price Capital Appreciation Fund                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 14. -- T. Rowe Price Growth Stock Fund                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 7/22/14                 | K                               | A                              |                                                                   |
| 15. -- T. Rowe Price Latin America Fund                                                                                     |                                         |                                               |                                                 |                                           | Sold                                            | 7/22/14                 | J                               | A                              |                                                                   |
| 16. -- T. Rowe Price Mid-Cap Growth Fund                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 17. -- T. Rowe Price U.S. Treasury Money<br>Market                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 7/22/14                 | K                               |                                |                                                                   |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                          |   |           |   |   |  |  |  |  |  |
|------------------------------------------|---|-----------|---|---|--|--|--|--|--|
| 18. Brokerage Account # 2                | A | Dividend  | J | T |  |  |  |  |  |
| 19. -- T, Rowe Price Mid-Cap Growth Fund |   |           |   |   |  |  |  |  |  |
| 20. Ally Bank (CDs)                      | A | Int./Div. | K | T |  |  |  |  |  |
| 21.                                      |   |           |   |   |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

1. Part VII, Line 2. The unimproved lot was purchased on July 11, 2005, for \$137,500.
2. Part VII, Line 3. The investments in I.R.A. # 3A were sold on November 21, 2014, and the proceeds were rolled over and invested in I.R.A. # 3B on November 24, 2014.
3. Part VII, Lines 9-10. The TIAA Traditional Annuity was rolled over into I.R.A. # 4 in ten annual installments. The tenth and final annual rollover distribution was made on December 1, 2014.
4. Part VII, Lines 11-17. The investments in the T. Rowe Price Equity Fund, Growth Stock Fund, and Latin America Fund were sold on July 22, 2014, and the proceeds were invested in the T. Rowe Price U.S. Treasury Money Market Fund on July 22, 2014.

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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/ **Peter H. Carroll**

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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