

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) Faris, Robert J.	2. Court or Organization Bankruptcy Court, D.Hawaii	3. Date of Report 5/9/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Bankruptcy Court 1132 Bishop St. Suite 250 Honolulu, HI 96813		
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.	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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	State of Hawaii - salary for teaching law school course	\$5,055.03
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. 2011	. (see part VIII)
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Bank of Hawaii accounts	A	Interest	M	T					
2. [REDACTED] stock		None	J	W					
3. IRA account #1	C	Dividend	M	T					
4. -- Schwab money market fund					Buy (add'l)	1/18/11	J		
5. -- Vanguard Index Trust S&P 500									
6. IRA account # 2	A	Dividend	L	T					
7. -- Schwab money market fund					Buy (add'l)	1/18/11	J		
8. -- Vanguard Index Trust S&P 500									
9. Trust #1									
10. -- Bank of Hawaii account		None	J	T					
11. Trust #2	B	Dividend	M	T					
12. -- Schwab money market fund					Buy (add'l)	05/02/11	J		
13.					Sold (part)	07/22/11	K	A	
14.					Buy (add'l)	11/07/11	K		
15.					Sold (part)	11/09/11	K	A	
16.					Sold (part)	11/10/11	K	A	
17.					Buy (add'l)	12/05/11	K		

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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☐ 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 I (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.					Sold (part)	12/07/11	K	A	
19.					Sold (part)	12/12/11	K	A	
20.					Buy (add'l)	12/19/11	L		
21.					Sold (part)	12/22/11	K	A	
22.					Sold (part)	12/29/11	K	A	
23. -- Vanguard Index Trust S&P 500					Sold (part)	11/02/11	K	B	
24.					Sold (part)	11/29/11	L	C	
25.					Sold (part)	12/13/11	L	B	
26. -- Goldman Sachs Bank CD					Buy	11/02/11	K		
27. -- American Express Cent. Bank. CD					Buy	11/02/11	K		
28. -- GE Capital Retail Bank CD					Buy	11/30/11	K		
29. -- Goldman Sachs Bank CD					Buy	11/28/11	K		
30. -- American Express Cent. Bank CD					Buy	12/14/11	K		
31. -- GE Capital Retail Bank CD					Buy	12/14/11	K		
32. Trust #3	C	Dividend	M	T					
33. -- Schwab money market fund					Buy (add'l)	01/24/11	J		
34. -- Vanguard Index Trust S&P 500					Sold (part)	11/2/11	K	A	

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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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	(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)

35.					Sold (part)	11/28/11	K	A	
36.					Sold (part)	12/13/11	K	B	
37. -- American Century ACITX					Buy	11/02/11	K		
38. -- PIMCO Total Return PTTDX					Buy	11/28/11	J		
39.					Buy (add'l)	11/29/11	K		
40.					Buy (add'l)	12/14/11	J		
41. -- Metropolitan West High Yield MWHYX					Buy	12/14/11	K		
42. -- PIMCO Foreign Bond Fund PFBDX					Buy	12/14/11	K		
43. Brokerage Account #1									
44. -- Schwab municipal money market fund	A	Dividend	M	T					
45. U.S. Savings Bonds		None	J	T					
46. [REDACTED] pension & profit sharing plan	D	Dividend	O	T					
47. -- Schwab money market fund					Buy (add'l)	01/21/11	L		
48. -- Vanguard Index Trust S&P 500									
49. Hawaii Residency Programs Inc. 403(b) retirement plan	A	Dividend	J	T					
50. -- ING VP Growth and Income Portfolio									
51. State of Hawaii PTS Deferred Comp. Retirement Plan	A	Int./Div.	J	T					

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part III.B, line 1, and Part VII, lines 2 and 42: [redacted] the sole stockholder, officer, and director, and an employee, of a corporation through which [redacted] conducts [redacted] medical practice. [redacted]
[redacted]

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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/ **Robert J. Faris**

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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