

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) Rice, David E.	2. Court or Organization U.S. Bankruptcy Court, District of MD	3. Date of Report 09/04/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge - active	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 101 W. Lombard Street Chambers 9636 Baltimore, MD 21201		
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.	President	Egenton Home, Inc.
2.	Trustee	Trust #1
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.		
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.	Bankruptcy Bar Association for the District of Maryland	5/3-5/4-2013	Annapolis, MD	Seminar	Meals, hotel
2.	American Bankruptcy Institute	8/8-8/9-2013	Hershey, PA	Seminar	Meals, hotel
3.	National Conference of Bankruptcy Judges	10/30-11/2-2013	Atlanta, GA	Seminar	Hotel
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	U.S. Dept. of Education	Student loans	K
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.)

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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				
	(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. PNC Bank Accounts	A	Interest	M	T					
2. Pentagon FCU Account	A	Interest	J	T					
3. APG FCU Account	A	Interest	J	T					
4. USAA Federal Accounts	A	Interest	K	T					
5. New Perspective Mutual Fund	B	Dividend	K	T					
6. McCormick Common (MKC)	A	Dividend	K	T					
7. PNC Bank IRA's CD's	A	Interest	K	T					
8. TD Ameritrade Money Market Account	A	Interest	J	T					
9. Facebook, Inc. (FB)		None	J	T					
10. Groupon, Inc. (GRPN)		None	J	T					
11. Brokerage Account #1									
12. Artisan Midcap Value Inv. Fund (ARTOX)	B	Dividend	J	T	Buy (add'l)	11/08/13	J		
13.					Sold (part)	03/08/13	J	A	
14.					Sold (part)	09/13/13	J	A	
15. Blackrock Inflation Prot. Bond A Fund (BPRAX)	A	Dividend			Sold	03/08/13	J	A	
16. PIMCO Emerging Mkts Bond A Fund (PAEMX)	A	Dividend			Sold (part)	03/08/13	J	A	
17.					Sold	11/08/13	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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18. EV Income Fund of Boston A (EVIBX)	A	Dividend	J	T	Sold	03/08/13	K	A	
19.					Buy	11/18/13	J		
20. Ivy Mid Cap Growth A Fund (WMGAX)	A	Dividend	J	T	Buy (add'l)	11/08/13	J		
21.					Sold (part)	03/08/13	J	A	
22.					Sold (part)	09/13/13	J	A	
23. Invesco Premier Inst. Money Mkt Fund	A	Dividend	J	T					
24. Citibank deposit account	A	Interest	L	T					
25. IBM Common (IBM)	A	Dividend	K	T					
26. Invesco Van Kampen Comstock Fund (ACSTX)	B	Dividend	L	T	Sold (part)	03/08/13	J	B	
27.					Buy (add'l)	09/13/13	J		
28.					Buy (add'l)	11/08/13	J		
29. Cambiar Small Cap Fund (CAMSX)	B	Dividend	J	T	Sold (part)	09/13/13	J	A	
30.					Buy (add'l)	03/08/13	J		
31.					Buy (add'l)	11/08/13	J		
32. Alliance Bernstein Small Cap Growth Fund (QUAYX)	B	Dividend	J	T	Buy (add'l)	03/08/13	J		
33.					Sold (part)	09/13/13	J	A	
34.					Sold (part)	11/08/13	J	B	

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35. Columbia Select Large Cap Growth Fund (ELGAX)	C	Dividend	L	T	Sold (part)	03/08/13	J	A	
36.					Buy (add'l)	11/08/13	J		
37.					Sold (part)	09/13/13	J	B	
38. Dreyfus Emerging Markets Fund (DRFMX)	C	Dividend	K	T	Buy (add'l)	09/13/13	J		
39.					Sold (part)	03/08/13	J	A	
40.					Sold (part)	11/08/13	J	A	
41. Nuveen Tradewinds International Value Fund (NAIGX)	C	Dividend	L	T	Buy (add'l)	03/08/13	J		
42.					Buy (add'l)	09/13/13	J		
43.					Buy (add'l)	11/08/13	J		
44. Pimco Foreign Bond Fund (PFOAX)	A	Dividend	J	T	Buy (add'l)	03/08/13	J		
45.					Buy (add'l)	09/13/13	J		
46.					Sold (part)	11/08/13	J	A	
47. Pimco Total Return Fund (PTTDX)	B	Dividend	J	T	Buy (add'l)	03/08/13	J		
48.					Buy (add'l)	09/13/13	J		
49.					Sold (part)	11/08/13	J	A	
50. Blackrock Low Dur Bond Fund Inv A (BLDAX)	A	Dividend	K	T	Buy	03/08/13	K		
51.					Buy (add'l)	09/13/13	J		

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52.					Buy (add'l)	11/08/13	J		
53. IRA #1	E	Dividend	O	T					
54. iShares Barclays Short Treasury Bond Fund (SHV)					Buy (add'l)	01/04/13	J		
55.					Sold	03/08/13	J	A	
56. SPDR Barclays Capital High Yield Bond ETF (JNK)					Buy (add'l)	01/04/13	J		
57.					Sold (part)	03/08/13	K	A	
58. Dreyfus Liquid Assets Inc. (nowMSLiquidAssetFund)									
59. Vanguard Mid-Cap Value Index Fund (VOE)					Buy (add'l)	03/08/13	J		
60. Cambiar Opportunity Fund (CAMWX)					Buy (add'l)	03/08/13	J		
61. Blackrock Inflation Protection Bond Portfolio (BPRIX)					Buy (add'l)	01/04/13	J		
62.					Sold (part)	03/08/13	J	A	
63. Cohen and Steers Realty Shares Fund (CSRSX)					Buy (add'l)	01/04/13	J		
64.					Buy (add'l)	12/16/13	J		
65.					Sold (part)	03/08/13	J	A	
66. Franklin Templeton Total Return Fund (FBDAX)					Buy (add'l)	01/04/13	J		
67.					Sold (part)	03/08/13	J	A	
68. Godman Sachs Absolute Return Fund (GJRTX)					Buy (add'l)	01/04/13	J		

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69.					Buy (add'l)	03/08/13	J		
70. Ivy Mid Cap Growth Fund (IYMIX)					Buy (add'l)	03/08/13	J		
71. Janus Overseas Fund (JIGFX)					Sold	02/19/13	L	A	
72. JP Morgan Dynamic Small Cap Growth Fund (JDSCX)					Buy (add'l)	01/04/13	J		
73.					Sold (part)	03/08/13	J	A	
74. Mainstay Large Cap Growth Fund (MLAIX)					Buy (add'l)	01/04/13	J		
75.					Buy (add'l)	03/08/13	J		
76. Pimco Emerging Local Bond Fund (PELPX)					Buy (add'l)	01/04/13	J		
77.					Buy (add'l)	12/16/13	J		
78.					Sold (part)	03/08/13	J	A	
79. Pimco Commodity Real Return Strategy Fund (PCRPX)					Buy (add'l)	01/04/13	J		
80.					Buy (add'l)	03/08/13	K		
81.					Buy (add'l)	12/16/13	J		
82. Royce Premier Fund (RYPRX)					Buy (add'l)	01/04/13	J		
83.					Buy (add'l)	03/08/13	J		
84. Guggenheim ManFutStratFD (RYMFX)					Buy (add'l)	01/04/13	J		
85.					Sold (part)	03/08/13	J	A	

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86. Templeton Global Bond Fund (TGBAX)					Buy (add'l)	01/04/13	J		
87.					Buy (add'l)	03/08/13	J		
88. Wells Fargo Adv Em Markets Growth Fund (EMGYX)					Buy (add'l)	03/08/13	J		
89. Vanguard Short Term Bond Fund (BSV)					Buy	03/08/13	J		
90. Harding Loevner Int'l Equity Fund (HLMIX)					Buy	02/19/13	L		
91.					Buy (add'l)	03/08/13	J		
92. Metropolitan West Total Return Bond Fund (MWTIX)					Buy	06/14/13	K		
93. Invesco Premier Portfolio Money Market Fund (IPPPX)					Buy	03/08/13	J		
94. IRA #2	B	Interest	M	T					
95. GE Cap Ret Bank (CD)					Matured	03/14/13	K		
96. Sovereign Bank (CD)					Matured	09/12/13	K		
97. Morgan Stanley Bank deposit account									
98. Fifth Third Bank (CD)					Buy	02/15/13	K		
99. Gateway Bank (CD)					Buy	02/15/13	K		
100. BMO Harris Bank (CD)					Buy	08/16/13	K		
101. Trust #1	D	Int./Div.	M	T					
102. Comerica Bank deposit account									

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103. MBIA Bond									
104. Duke Energy Common (DUK)									
105. Frontier Comm Common (FTR)					Sold	02/19/13	J	A	
106. Spectra Energy Common (SE)									
107. American High Income Trust CL A Fund (AHITX)					Sold	02/19/13	K	A	
108. Calamos Growth & Income Fund B (CVTYX)					Sold	02/19/13	J	A	
109. Capital Income Builder Fund A (CAIBX)					Sold	02/19/13	J	B	
110. Oppenheimer Rochester Natl Mun A Fund (ORNAX)									
111. Oppenheimer SR Floating Rate A Fund (OOSAX)									
112. Washington Mutual Invs FDCLA fund (AWSHX)									
113. Kinder Morgan Energy Partners (KMP)									
114. Allianzgi Income Growth Fund (AZNCX)					Buy	02/20/13	K		
115. Pimco Emerging Markets Bond Fund (PEBCX)					Buy	02/20/13	J		
116. Mineral Rights, Dimmit County, TX		None	K	W					
117. Mineral Rights, Canadian County, OK	D	Royalty	K	W					
118. Mineral Rights, Franklin County, AR		None	K	W					
119. Mineral Rights, Lincoln County, OK		None	K	W					

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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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)
120. Mineral Rights, Pontotoc County, OK		None	K	W					

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

Western Asset Money Market Fund (LMTXX) identified in Part VII, page 6, line 41 and 42 of the Report for 2012 was sold in its entirety on 6/22/12.

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Name of Person Reporting

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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/ **David E. Rice**

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
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