

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) Caddell, John aka Jack A.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 03/19/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 P O Box 2004 Decatur AL 35602-2004		
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. _____	_____
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.		
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. Alabama State Bar	6/20/2013-6/22/2013	Destin, FL	Bankruptcy at the Beach Seminar	Lodging, Mileage
2. American Conference Institute	1/31/2013 - 2/1/2013	New York, NY	Consumer Finance Class Actions & Litigation Seminar	Lodging, Airfare
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. Checking Acct. - Regions Bank		None	J	T					
2. Savings Acct. - Regions Bank	A	Int./Div.	K	T					
3. Schwab Bank Account	A	Int./Div.	J	T					
4. American Century Gov't	A	Int./Div.	K	T					*See VIII
5. American Century Equity	A	Int./Div.	K	T					*See VIII
6. American Century Tax Free Bond Fund	A	Int./Div.	K	T					*See VIII
7. American Financial Group	A	Int./Div.			Sold	3/28/13	J	A	*See VIII
8. Artisan Int'l Fund	A	Int./Div.	J	T					*See VIII
9. Balero	A	Int./Div.			Sold	3/21/13	J	A	*See VIII
10. Baron Growth Fund	A	Int./Div.			Sold	3/28/13	J	A	*See VIII
11. FMI Large Cap Fund	A	Int./Div.	J	T	Buy	12/30/13	J		*See VIII
12. Glenmede Small Cap Equity	A	Int./Div.	K	T					*See VIII
13. Harbor International Fund	A	Int./Div.	K	T					*See VIII
14. iShares Core U.S. Bond Market ETF	A	Int./Div.	J	T					*See VIII
15. Janus Overseas Fund	A	Int./Div.			Sold	3/28/13	K	A	*See VIII
16. Metropolitan West	A	Int./Div.	J	T	Buy	12/30/13	J		*See VIII
17. Oakmark Global Fund	A	Int./Div.	J	T	Buy	12/30/13	J		*See VIII

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)
18. Parnassus Equity Income Fund ****See VIII	A	Int./Div.	L	T					*See VIII
19. Pimco Total Return Fund	A	Int./Div.	K	T					*See VIII
20. Pembina Pipeline Trust	A	Int./Div.	J	T					*See VIII
21. Schwab S&P 500 Index -	A	Int./Div.	M	T					*See VIII
22. Scout Internal Fund	A	Int./Div.	M	T					*See VIII
23. SPDR Trust ****See VIII	A	Int./Div.	J	T					*See VIII
24. Templeton Global Bond Fund	A	Int./Div.	J	T					*See VIII
25. TIAA CREF	A	Int./Div.	K	T					*See VIII
26. Valera Energy Corp	A	Int./Div.			Sold	3/28/13	J	A	*See VIII
27. Vanguard Morgan Growth Fund	A	Int./Div.	L	T					*See VIII
28. Vanguard Value ETF	A	Int./Div.	K	T					*See VIII
29. Vanguard Small Cap	A	Int./Div.	K	T					*See VIII
30. Baird Core Plus BD Inst	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
31. Federated INTL Leaders	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
32. Oakmark Intl Small Cap	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
33. Parnassus Equity Inc ****See VIII	A	Int./Div.	J	T					**See VIII
34. Parnassus Equity Income Fund **** See VIII	A	Int./Div.	J	T					**See VIII

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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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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35. SPDR Gold Trust ****See VIII	A	Int./Div.	J	T					**See VIII
36. SPDR Trust ****See VIII	A	Int./Div.	J	T					**See VIII
37. TCW Total Return Bond	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
38. Vanguard Inflation	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
39. Vanguard MEG CAP GROWTH	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
40. Vanguard Mid Cap Growth	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
41. Vanguard Small Cap	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
42. Vanguard Whitehall Fund	A	Int./Div.	J	T	Buy	12/30/13	J		*See VIII
43. Wisdomtree MidCap	A	Int./Div.	J	T	Buy	12/30/13	J		**See VIII
44. Cash in Schwab Brokerage Acct.	A	Int./Div.	K	T					
45. Alabama Fed Aid Hwy	A	Int./Div.			Sold	03/28/13	J	A	***See VIII
46. Arizona St. Transn. Brd. Hwy. Rev. 5%	A	Int./Div.	J	T					***See VIII
47. Auburn Univeristy ALA GEN due 6/1/20	A	Int./Div.	J	T					***See VIII
48. Auburn University ALA GEN due 6/25	A	Int./Div.	J	T					***See VIII
49. California GO	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
50. California ST FOR 5% due 6/1/20	A	Int./Div.	J	T					***See VIII
51. Chicago Ill Trans Authority	A	Int./Div.	J	T					***See VIII

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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52. Chicago ILL WTR REV	A	Int./Div.	J	T					***See VIII
53. Dallas TEX WTRWKS	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
54. Florida State BRD ED	A	Int./Div.			Sold	03/28/13	J	A	***See VIII
55. FMI Large Cap Fund	A	Int./Div.			Sold	03/28/13	J	A	***VIII
56. Iowa State SPL OBLIG	A	Int./Div.	J	T					***See VIII
57. Iowa Finance Authority REV	A	Int./Div.	J	T					***See VIII
58. Kansas ST DEV FIN	A	Int./Div.			Sold	03/28/13	J	A	***See VIII
59. Los Angeles California 5%	A	Int./Div.	J	T					***See VIII
60. Louisiana State	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
61. Lower COL RIVER	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
62. Maine Municipal Bond	A	Int./Div.	J	T					***See VIII
63. Metropolitan Transn 5%	A	Int./Div.			Sold	3/28/13	J	A	***See VIII
64. Michigan FIN AUTH	A	Int./Div.	J	T					***See VIII
65. Michigan ST BLDG AUTH	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
66. Minnesota PUB FACS	A	Int./Div.	J	T					***See VIII
67. Minnesota ST MUN PWR	A	Int./Div.	J	T					***See VIII
68. New Mexico Finance Authority	A	Int./Div.	J	T					***See VIII

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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69. New York New York Municipal Bon for PR 5%	A	Int./Div.	J	T					***See VIII
70. New York ST DORM	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
71. New York ST TWY	A	Int./Div.	J	T					***See VIII
72. Ohio ST TPK COMMN	A	Int./Div.	J	T					***See VIII
73. Pennsylvania St. 5.75%	A	Int./Div.	J	T					***See VIII
74. Phoenix Arizona Civia	A	Int./Div.			Sold	03/28/13	J	A	***See VIII
75. Reedy Creek IMPT	A	Int./Div.	J	T	Buy	12/30/13	J		***See VIII
76. Southern California Pub	A	Int./Div.	J	T					***See VIII
77. Texas ST GO due 8/1/21	A	Int./Div.	J	T					***See VIII
78. University of California RE 5%	A	Int./Div.			Sold	03/28/13	J	A	***See VIII
79. Virginia College BLDG AUTH	A	Int./Div.	J	T					***See VIII
80. Wisconsin ST CLEAN WTR	A	Int./Div.	J	T					***See VIII
81. *****See VIII									

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 P1 -\$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.)*

* These are in my Main Brokerage Account

** These are in my IRA Brokerage Account

***These are in my Bond Brokerage Account

****SPDR and Parnassus - On last years reports the accounts were shown as combined. This years reports shows seperated in separate accounts.

*****In 2013 I rolled over my thrift savings account to my Schwab IRA Account adding \$626,000 value to the IRA. The IRA then purchased new holdings in that value as listed above.

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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/ **John aka Jack A. Caddell**

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