

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) Bohm, Carlota M.	2. Court or Organization U.S. Bankruptcy Court for the Western District of PA	3. Date of Report 09/07/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
7. Chambers or Office Address 54th Floor, US Steet Tower, 600 Grant Street, Pittsburgh PA 15219		
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	Income from prior Misc. Bankruptcy /Trustee Related	\$120.00
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. Bankruptcy Bar Association / Southern District of Florida	05/12/2016 to 5/15/2016	Marco Island, FL	Seminar/Program	Transportation, 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. 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. Jackson National Annuity - Fixed Income Annuity	A	Dividend	M	T					
2. Jackson National Annuity - JNL/S&P Managed Moderate Growth Fund	A	Dividend	M	T					
3. Sun America Focused Dividend Strategy Fund (FDSWX)	A	Dividend			Sold (part)	03/09/16	J	A	
4.	A	Dividend	J	T	Buy (add'l)	03/10/16	J		
5.					Sold (part)	07/14/16	J	A	
6.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
7.	A	Dividend	J	T	Buy	08/25/16	J		
8.					Sold (part)	11/29/16	J	A	
9. Pimco Income Fund (PONPX)	A	Dividend			Sold (part)	01/25/16	J	A	
10.					Sold (part)	03/09/16	K	A	
11.					Sold (part)	07/14/16	J	A	
12.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
13.	A	Dividend	J	T	Buy	08/25/16	J		
14.					Sold (part)	11/29/16	J	A	
15. Wells Fargo Large Cap Core Fund (EGOIX)	A	Dividend			Sold	03/09/16	L	A	
16. Hennessy Focus 30 Fund Inst (HIMDX)	A	Dividend			Sold (part)	03/09/16	J	A	
17.					Sold (part)	07/13/16	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
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	H1 = \$1,000,001 - \$5,000,000 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				
	(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.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
19.	A	Dividend	J	T	Buy	08/25/16	J		
20.					Sold (part)	11/29/16	J	A	
21. Virtus Emerging Markets Opportunities (HIEMX)	A	Dividend			Sold	03/09/16	J	A	
22. Touchstone Sands Capital Select Growth Fund (CFSIX f/k/a TSNAX)	A	Dividend			Sold	03/09/16	K	C	
23. Loomis Sayles Investment Grade Bond (LSIIX)	A	Dividend	K	T	Buy (add'l)	03/10/16	K		
24.					Sold (part)	04/25/16	J	A	
25.					Sold (part)	07/14/16	J	A	
26.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
27.	A	Dividend	J	T	Buy	08/25/16	J		
28.					Sold (part)	11/29/16	J	A	
29. AB High Income Fund (AGDYX)	A	Dividend	J	T	Buy	03/10/16	J		
30.					Sold (part)	07/14/16	J	A	
31.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
32.	A	Dividend	J	T	Buy	08/25/16	J		
33.					Sold (part)	11/29/16	J	A	
34. Pioneer Pioneer Fundamental Growth fund (FUNYX)	A	Dividend	K	T	Buy	03/10/16	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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35.					Sold (part)	07/14/16	J	A	
36.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
37.	A	Dividend	J	T	Buy	08/25/16	J		
38.					Sold (part)	11/29/16	J	A	
39. Touchstone Small Cap Value Opportunities Fund (TSOYX)	A	Dividend	J	T	Buy (add'l)	03/10/16	J		
40.					Sold (part)	07/14/16	J	A	
41.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
42.	A	Dividend	J	T	Buy	08/25/16	J		
43.					Sold (part)	11/29/16	J	A	
44. Oppenheimer Developing Markets fund (ODVYX)	A	Dividend	K	T	Buy (add'l)	03/10/16	K		
45.					Sold (part)	07/14/16	J	A	
46.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
47.	A	Dividend	J	T	Buy	08/25/16	J		
48.					Sold (part)	11/29/16	J	A	
49. Henderson Intl Opportunities (HFOIX)	A	Dividend	J	T	Buy (add'l)	03/10/16	J		
50.					Sold (part)	07/14/16	J	A	
51.	A	Dividend	J	T	Buy (add'l)	08/22/16	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	
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52.	A	Dividend	J	T	Buy	08/25/16	J		
53.					Sold (part)	11/29/16	J	A	
54. Lord Abbett High Yield Fund (LHYFX)	A	Dividend	J	T	Buy (add'l)	03/10/16	J		
55.					Sold (part)	07/14/16	J	A	
56.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
57.	A	Dividend	J	T	Buy	08/25/16	J		
58.					Sold (part)	11/29/16	J	A	
59. Pioneer Strategic Income Fund (STRYX)	A	Dividend	K	T	Buy (add'l)	03/10/16	K		
60.					Sold (part)	07/14/16	J	A	
61.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
62.	A	Dividend	J	T	Buy	08/25/16	J		
63.					Sold (part)	11/29/16	J	A	
64. JP Morgan US Equity Fund Select (JUESX)	A	Dividend	L	T	Buy (add'l)	03/10/16	L		
65.					Sold (part)	07/14/16	J	A	
66.	A	Dividend	J	T	Buy (add'l)	08/22/16	J		
67.	A	Dividend	J	T	Buy	08/25/16	J		
68.					Sold	11/29/16	J	A	

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69. Viacom, Inc. (VIAB)(X)	A	Dividend			Sold	08/24/16	J	A	
70. Fidelity Growth Strategies Fund (FDEGX) (X)	A	Dividend			Sold	08/22/16	J	A	
71. Fidelity Japan Smaller Companies (FJSCX) (X)	A	Dividend			Sold	08/24/16	J	A	
72. Eli Lilly (LLY)(X)	A	Dividend			Sold	08/24/16	J	A	
73. CBS Stock (X)	A	Dividend			Sold	08/24/16	J	A	
74. Financial Sector SPDR Trust ETF (XLF)	A	Dividend	K	T	Buy	12/08/16	K		
75. Health Care Select Sector SPDR Fund (XLV)	A	Dividend	K	T	Buy	12/08/16	K		
76. Vanguard Sector Index FD Information Tech ETF (VGT)	A	Dividend	K	T	Buy	12/08/16	K		
77. PNC Bank Accounts	A	Interest	L	T					
78. Roam Bally IV, LP	A	Interest	K	T					
79. USB Bank USA Dep Account (X)	A	Interest	J	T					
80. Autoliv, Inc. (ALV)(X)					Sold	03/09/16	J	A	
81. Vanguard Energy (VGENX)(X)					Sold	03/09/16	J	A	
82. Vanguard European Stock Index Adm FD (VEUSX)(X)					Sold	03/09/16	J	A	
83. Vanguard Global Equity (VHGEX)(X)					Sold	03/09/16	J	A	
84. Vanguard International Value Fund (VTRIX)(X)					Sold	03/09/16	J	A	
85. Vanguard PRIMECAP Fund (VPMCX)(X)					Sold	03/09/16	J	A	

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

Received from Decedent, George Bohm's (father) Estate - beneficiary share \$125,000.00

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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/ **Carlota M. Bohm**

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