

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) MONTALI, DENNIS	2. Court or Organization UNITED STATES BANKRUPTCY COURT	3. Date of Report 04/20/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address POST OFFICE BOX 7341 SAN FRANCISCO, CA. 94120-7341		
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.	Board Member	Associartin of Business Trial Lawyers
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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. Various	Retired - Real Estate Referral Fees from Pacific Union
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. American Bar Association	October 24 - 27, 2012	San Diego, CA	Speaker at seminar	Travel, hotel charges and meals
2. Bay Area Bankruptcy Forum	October 30, 2012	San Jose, CA	Speaker at program	Mileage and parking
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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.	JP Morgan Chase	Mortgage	N
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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. Real estate - ██████ Cty (\$340,000; fractional int.; acq 2/01)		None	N	W					
2. Acct. Union Bank of California, SF		None	J	T					
3. Acct. Wells Fargo Bank, Berkeley	A	Interest	J	T					
4. Abbott Labs	A	Dividend			Sold	10/22/12	M		Was shown as "Buy" in 2011
5. American Centy Global Fund	A	Dividend	K	T					
6. American Centy Gvt Inc	C	Int./Div.	M	T					
7. Audubon Cellars, Inc. common		None	J	U					
8. Automatic Data Processing common	C	Dividend	M	T					
9. Baxter Int'l	A	Dividend			Sold	09/19/12	J		
10. Cardinal Health common	A	Dividend	K	T					
11. Care Fusion		None	J	T					
12. Cognizant Tech. Solutions		None	M	T					
13. Colgate Palmolive & Co common	C	Dividend	M	T					
14. Dreyfus Active Midcap Fund A	A	Dividend	K	T					
15. Dreyfus Mid Cap Index Fund	B	Dividend	M	T					
16. Dreyfus Muni Bond Fund	A	Dividend	K	T					
17. Dreyfus Cal Tax Ex Fund	D	Dividend	M	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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. Du Pont, E I De Nemour common	B	Dividend	K	T					
19. Exxon Mobil Corporation common	D	Dividend	O	T					
20. Federated High Yield Trust	A	Dividend	J	T					
21. Genuine Parts common	C	Dividend	M	T					
22. Goldcorp	A	Dividend	L	T	Buy	02/09/12	L		
23.					Sold (part)	12/31/12	J		
24. Health Care REIT, Inc		None			Buy	09/19/12	M		
25.					Sold	11/15/12	M		
26. Hewlett Packard common	A	Dividend			Sold	09/19/12	J		
27. Honeywell Int'l common	C	Dividend	M	T					
28. Intel	B	Dividend	L	T					
29. Ishares MSCI Japan	A	Dividend	K	T					
30. Japan Fund Inc	A	Dividend	K	T					
31. Johnson & Johnson	C	Dividend	M	T					
32. Kimberly Clark	C	Dividend	M	T					
33. Kraft Food Group	B	Dividend	K	T	Buy	12/26/12	K		
34. Managers Pimco Bond Fund (fka Managers Fremont Bond Fund)	C	Dividend	M	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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)

35. Marisco Focus Fund	A	Dividend	K	T					
36. McDonalds Corp common	D	Dividend	N	T					
37. McGraw-Hill	A	Dividend			Sold	02/09/12	K		
38. Nestle SA	C	Dividend	M	T					
39. Novo-Nordisk	B	Dividend	M	T					
40. Pentair	B	Dividend	L	T	Buy	02/09/12	L		
41. Pepisco common	B	Dividend	L	T					
42. Pimco Commodity Real Ret Strat	A	Interest	K	T					
43. PPL Corp	C	Dividend	L	T	Buy	02/09/12	L		
44. Proctor & Gamble Co. common	C	Dividend	L	T					
45. Schlumberger	A	Dividend	L	T					
46. Schwab Government MMF	A	Interest	N	T					
47. Schwab Corp common	B	Dividend	L	T					
48. Schwab 1000 Fund	A	Dividend	K	T					
49. Select Sector - Materials	B	Dividend	L	T					
50. SPDR Energt Select	A	Dividend	J	T					
51. S&P 500 Depository Receipts(fka SPDR Trust Unit)	B	Dividend	M	T					

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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)

52. SPDR Utilities Select	B	Dividend	L	T					
53. Stryker Corp	B	Dividend	L	T					
54. Sysco common	B	Dividend	L	T					
55. T. Rowe Price Int'l Stk Fund	B	Dividend	M	T					
56. T. Rowe Price Equity Fund	B	Dividend	L	T					
57. T. Rowe Price Growth	A	Dividend	L	T					
58. T. Rowe Price - New Horizon	A	Dividend	K	T					
59. Templeton Developing Mkt	B	Dividend	L	T					
60. Templeton Global Inc. Fund	D	Dividend	M	T					
61. Templeton Global Bond (fka Templeton Income Trust)	B	Dividend	K	T					
62. 3M	C	Dividend	M	T					
63. United Parcel Service	C	Dividend	M	T					
64. USAA Short term fund	B	Interest	L	T					
65. USAA Long term fund	C	Interest	L	T					
66. US Treas. Inflation Index Bonds	B	Interest	L	T					
67. USX-US Steel Corp	A	Dividend	K	T					
68. United Technologies	C	Dividend	M	T					

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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)
69. Wells Fargo Adv ST	C	Dividend	L	T					
70. Vanguard Intl Growth Fund	A	Dividend	L	T					
71. Vanguard 500 Fund	C	Dividend	M	T					
72. Vanguard Wellesley Inc. Fund	A	Interest	K	T					
73. Vanguard Intl. Equity Index (Eur. stk)	C	Dividend	L	T					
74. Vanguard Wellington Fund	A	Dividend	K	T					
75. Vanguard Fxd Inc. GNMA	C	Interest	M	T	Open	06/14/12	M		See Notes Part VIII
76. Vanguard F-I Short Term	B	Interest	M	T	Open	06/14/12	M		See Notes Part VIII
77. Vodaphone	B	Dividend	K	T					
78. Walt Disney Hldg common	B	Dividend	M	T					
79. Western Union	A	Dividend			Sold	12/13/12	J		
80. Wisconsin Energy CP Hldg Co common	C	Dividend	L	T					

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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

6/14/12: Sold Vanguard Short Term Inv. Grade Fund, Investor Shares (Value M) and Vanguard GNMA Fund Investor Shares (Value M) and Bought Vanguard Short Term Inv. Grade Fund, Admiral Shares (Value M) and Vanguard GNMA Fund, Admiral Shares (Value M)

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/20/2013

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/ **DENNIS MONTALI**

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