

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) Albert, Theodor C.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 06/03/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address 411 W. Fourth Street Santa Ana, CA 92701-4593 Ste. 5085		
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. 2012	Chapman University Law School	\$10,000.00
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. 2012	Gaskell & Brown - Salary
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.)

	<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.	Bank of America	Credit Card Balance	J
2.	American Express	Credit Card Balance	J
3.	Wells Fargo	Credit Card Balance	J
4.	Bank of America	Overdraft Line of Credit	J
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. [REDACTED] Ed. Trust	A	Dividend	K	T	Redeemed (part)	12/01/12	J	A	
2. -Washington Mutual Investor's Fund									
3. [REDACTED] Ed. Trust	A	Dividend	K	T					
4. -Washington Mutual Investor's Fund									
5. Bank of America Checking	A	Interest	J	T					
6. Griffin & Griffin 401k (American Funds)	C	Int./Div.	L	T					
7. -The Growth Fund of America R3									
8. -The New Economy Fund R3									
9. -Smallcap World Fund R3									
10. -Washington Mutual Investors Fund R3									
11. -The Income Fund of America R3									
12. -The Bond Fund of America R3									
13. -American High Income Trust R3									
14. -U.S. Government Securities Fund R3									
15. -Intermediate Bond Fund of America R3									
16. -American Funds Money Market Fund R3									
17. Wells Fargo Checking	A	Interest	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 = \$250,000.01 - \$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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18. IRA Wells Fargo Advisors	A	Int./Div.	L	T					
19. -Wells Fargo Cash Account									
20. -Apple, Inc.									
21. -Currencyshares Australian Dollar Trust									
22. -Hecla Mining Co.									
23. -Microsoft Corp									
24. -Xerox Corp.									
25. Wells Fargo Advisors #1 (H)									
26. -Wells Fargo Cash Account	A	Interest	L	T					
27. -Alpha Pro Tech LTD		None	J	T					
28. -BP PLC Spons ADR	A	Dividend	J	T					
29. -Darden Restaurants	A	Dividend	K	T					
30. -Frontier Communications Corp.	A	Dividend	J	T					
31. -General Electric Corp	A	Dividend	J	T					
32. -New York Community Bancorp	A	Dividend	J	T					
33. -Morgan Stanley Fix/Float CPI Note	A	Dividend	J	T					
34. -US Treasury Bond	A	Interest	L	T					

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35. -Aberdeen Asia Pacific Fund	A	Dividend	J	T					
36. -Morgan Stanley Emerging Market Fund	A	Dividend	J	T					
37. -Eaton Vance Tax Managed Global Buy-Write Opp. Fund	A	Dividend	J	T					
38. -Federated Enhanced Treas. Income Fund	A	Dividend			Sold	04/16/12	J		
39. -Gabelli Dividend & Income Trust	A	Dividend	J	T					
40. -Blackrock Enhanced Gov. Fund	A	Dividend	J	T					
41. -Green Mountain Coffee	A	Dividend	J	T	Buy	04/17/12	J		
42. Wells Fargo Advisors #2 (H)									
43. -Cash Sweep Account	A	Interest	N	T	Open	09/26/12	O		
44. -John Hancock Life Ins. Floating Rate signature notes	A	Dividend	L	T	Buy	09/12/12	L		
45. -Protective Life Secd. Tr. floating rate notes	A	Dividend	L	T	Buy	09/27/12	L		
46. -La Salle Bank Floating Rate	A	Dividend	L	T	Buy	09/12/12	L		

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

Lines 1-4 [redacted] trusts are administered by Learning Quest.

Line 6 Griffin & Griffin 401k maintained by [redacted] former employer.

Line 18 Wells Fargo Advisors: this IRA account was the destination of the rollover of account #3 above, County of Ventura 401k

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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/ Theodor C. Albert**

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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Washington, D.C. 20544