

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Novack, Charles D.                                                                                                                   | <b>2. Court or Organization</b><br><br>Bankruptcy Court, Northern District of California                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>05/15/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>United States Bankruptcy Court Judge                                          | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>Robert F. Peckham Federal Building<br>and United States Courthouse<br>280 S. First Street, Room 3035<br>San Jose, CA 95113                                    |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

|    | POSITION   | NAME OF ORGANIZATION/ENTITY |
|----|------------|-----------------------------|
| 1. | Co-Trustee | Estate of [REDACTED]        |
| 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. | 1999 | GATX Pension Plan, in which [REDACTED] has some unknown future benefit. [REDACTED] terminated employment in December 2004. |
| 2. |      |                                                                                                                            |
| 3. |      |                                                                                                                            |

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Name of Person Reporting

Novack, Charles D.

Date of Report

05/15/2014

**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><br>(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. 2013     | Self-employed attorney |
| 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.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Novack, Charles D.       | 05/15/2014     |

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. | Occidental College | tuition     | J          |
| 2. | Nordstrom Bank     | credit card | K          |
| 3. |                    |             |            |
| 4. |                    |             |            |
| 5. |                    |             |            |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                |   |           |   |   |                |          |   |  |  |
|--------------------------------|---|-----------|---|---|----------------|----------|---|--|--|
| 1. IRA #1                      | E | Int./Div. | O | T |                |          |   |  |  |
| 2. - Schwab Cash and Money Mkt |   |           |   |   | Buy<br>(add'l) | 01/02/13 | J |  |  |
| 3.                             |   |           |   |   | Sold<br>(part) | 01/09/13 | J |  |  |
| 4.                             |   |           |   |   | Buy<br>(add'l) | 02/21/13 | J |  |  |
| 5.                             |   |           |   |   | Buy<br>(add'l) | 03/11/13 | J |  |  |
| 6.                             |   |           |   |   | Sold<br>(part) | 03/13/13 | J |  |  |
| 7.                             |   |           |   |   | Sold<br>(part) | 04/10/13 | J |  |  |
| 8.                             |   |           |   |   | Sold<br>(part) | 05/16/13 | J |  |  |
| 9.                             |   |           |   |   | Buy<br>(add'l) | 05/21/13 | J |  |  |
| 10.                            |   |           |   |   | Sold<br>(part) | 07/03/13 | J |  |  |
| 11.                            |   |           |   |   | Buy<br>(add'l) | 07/26/13 | K |  |  |
| 12.                            |   |           |   |   | Sold<br>(part) | 07/29/13 | K |  |  |
| 13.                            |   |           |   |   | Sold<br>(part) | 07/31/13 | K |  |  |
| 14.                            |   |           |   |   | Sold<br>(part) | 08/29/13 | J |  |  |
| 15.                            |   |           |   |   | Buy<br>(add'l) | 09/04/13 | J |  |  |
| 16.                            |   |           |   |   | Sold<br>(part) | 10/08/13 | J |  |  |
| 17.                            |   |           |   |   | Sold<br>(part) | 10/10/13 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/18/13                | J                               |                                |                                                                   |
| 19.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/19/13                | J                               |                                |                                                                   |
| 20.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/31/13                | K                               |                                |                                                                   |
| 21. -Accenture PLC Class A                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 22.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 23. - Baxter International, Inc.                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 24. - CH Robinson Worldwide, Inc. (common)                                                                                  |                                         |                                               |                                                 |                                           | Sold                                            | 02/11/13                | K                               |                                |                                                                   |
| 25.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 26. -Colgate Palmolive Co. (common)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 27. -Canadian National Railways Co. (common)                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 28. -Factset Research System, Inc. (common)                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 29. -Grainger WW, Inc. (common)                                                                                             |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/26/13                | J                               |                                |                                                                   |
| 30. -Hormel (common)                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 31. - Magellan Midstream Partners (common)                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 32. -McDonalds Corp. (common)                                                                                               |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 33.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 10/11/13                | K                               |                                |                                                                   |
| 34. - Metronic, Inc. (common)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. -Nike, Inc. (common)                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 36. -Novo - Nordisk as ADR                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 37. - Petsmart, Inc.                                                                                                        |                                         |                                               |                                                 |                                           | Buy                                             | 10/11/13                | K                               |                                |                                                                   |
| 38. -Praxair, Inc. (common)                                                                                                 |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 39. - Target Corporation                                                                                                    |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 40. -TJX Companies (common)                                                                                                 |                                         |                                               |                                                 |                                           | Buy                                             | 03/07/13                | J                               |                                |                                                                   |
| 41. -T. Rowe Price Group (common)                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 42. - Toronto Dominion Bank                                                                                                 |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 43. - U.S. Bankcorp. Del. New.                                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 02/11/13                | K                               |                                |                                                                   |
| 44.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 02/14/13                | K                               |                                |                                                                   |
| 45. - Walgreen Company (common)                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. - Xilinx, Inc. (common)                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 47. - 361 Managed Futures Strat. Fund Cl 1                                                                                  |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 48.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/28/13                | K                               |                                |                                                                   |
| 49.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/18/13                | J                               |                                |                                                                   |
| 50.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/08/13                | J                               |                                |                                                                   |
| 51. - Doubleline Total Return Bond Fund Cl 1                                                                                |                                         |                                               |                                                 |                                           | Buy                                             | 07/26/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | L = \$50,001 - \$100,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                |  |  |  |  |             |          |   |  |  |
|----------------------------------------------------------------|--|--|--|--|-------------|----------|---|--|--|
| 52. - Guggenheim Exch TRD FD Bullet Shares 2014 Corp Bond ETF  |  |  |  |  | Buy         | 10/07/13 | K |  |  |
| 53. - Guggenheim Exch TRD FD Bullet Shares 2015 Corp Bond ETF  |  |  |  |  | Buy         | 10/07/13 | J |  |  |
| 54. - Guggenheim Exch TRD FD Bullet Shares 2016 Corp Bond ETF  |  |  |  |  | Buy         | 10/07/13 | K |  |  |
| 55. - Guggenheim Exch. TRD FD Bullet Shares 2017 Corp Bond ETF |  |  |  |  | Buy         | 10/07/13 | K |  |  |
| 56. - Guggenheim ETF Bullet Shares 2018 Corp Bond              |  |  |  |  | Buy         | 08/30/13 | K |  |  |
| 57. - Guggenheim ETF Bullet Shares 2020 Corp Bond              |  |  |  |  | Buy         | 08/30/13 | K |  |  |
| 58. - iShares Tr. Bond 1-3 Year Credit Bond ETF                |  |  |  |  | Buy         | 03/07/13 | K |  |  |
| 59.                                                            |  |  |  |  | Buy (add'l) | 07/26/13 | J |  |  |
| 60.                                                            |  |  |  |  | Buy (add'l) | 03/08/13 | J |  |  |
| 61.                                                            |  |  |  |  | Sold        | 10/07/13 | K |  |  |
| 62. - iShares 2020 ETF New Corporate Ex-Financials Term        |  |  |  |  | Buy         | 08/30/13 | K |  |  |
| 63. - PIMCO All Asset All Authority CL Inst.                   |  |  |  |  | Buy         | 05/15/13 | K |  |  |
| 64.                                                            |  |  |  |  | Buy (add'l) | 07/02/13 | J |  |  |
| 65.                                                            |  |  |  |  | Buy (add'l) | 07/26/13 | J |  |  |
| 66. - PIMCO Exh. Corp. Bond ETF Intermediate Term              |  |  |  |  | Buy         | 03/07/13 | K |  |  |
| 67. - Templeton Global Bond Fund A                             |  |  |  |  |             |          |   |  |  |
| 68. - SPDR Index Shares Fund Dow Jones Global Real             |  |  |  |  | Buy (add'l) | 07/26/13 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | L = \$50,001 - \$100,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                                                          |                         |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

Novack, Charles D.

Date of Report

05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/28/13                | K                               |                                |                                                                   |
| 70. - SPDR S&P Global ETF Natural Resources                                                                                 |                                         |                                               |                                                 |                                           | Sold                                            | 05/15/13                | K                               |                                |                                                                   |
| 71. - SPDR Fincl. Select Shares                                                                                             |                                         |                                               |                                                 |                                           | Buy                                             | 02/14/13                | K                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/07/13                | J                               |                                |                                                                   |
| 73. -Vanguard Inflation Protected Securities FD                                                                             |                                         |                                               |                                                 |                                           | Sold                                            | 03/07/13                | K                               |                                |                                                                   |
| 74. -Vanguard International Equity Index All<br>World                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 75. - Vanguard Corp. Bond ETF Short-Term<br>Corp. Bond                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/30/13                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 10/07/13                | J                               |                                |                                                                   |
| 78. - Vanguard Corp. Bond ETF Intermediate-<br>Term                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/30/13                | K                               |                                |                                                                   |
| 81. - Vanguard Bond Index Fund                                                                                              |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 82. - Vanguard Inflation Protected Securities FD                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 03/07/13                | K                               |                                |                                                                   |
| 83. - T. Rowe Price Emerging Markets Fund                                                                                   |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/13                | J                               |                                |                                                                   |
| 84. IRA #2                                                                                                                  | D                                       | Int./Div.                                     | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. -Schwab Adv. Cash Reserve                                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/09/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

Novack, Charles D.

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05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|      |                                              |  |  |  |                |          |   |  |  |
|------|----------------------------------------------|--|--|--|----------------|----------|---|--|--|
| 86.  |                                              |  |  |  | Sold<br>(part) | 02/14/13 | J |  |  |
| 87.  |                                              |  |  |  | Sold<br>(part) | 04/10/13 | J |  |  |
| 88.  |                                              |  |  |  | Sold<br>(part) | 05/16/13 | J |  |  |
| 89.  |                                              |  |  |  | Buy<br>(add'l) | 05/21/13 | J |  |  |
| 90.  |                                              |  |  |  | Sold<br>(part) | 07/03/13 | J |  |  |
| 91.  |                                              |  |  |  | Sold<br>(part) | 08/29/13 | J |  |  |
| 92.  |                                              |  |  |  | Buy<br>(add'l) | 09/04/13 | J |  |  |
| 93.  |                                              |  |  |  | Sold<br>(part) | 10/08/13 | J |  |  |
| 94.  |                                              |  |  |  | Sold<br>(part) | 10/10/13 | J |  |  |
| 95.  |                                              |  |  |  | Buy<br>(add'l) | 12/25/13 | J |  |  |
| 96.  | - Accenture PLC Class A                      |  |  |  |                |          |   |  |  |
| 97.  | - Baxter International Inc.                  |  |  |  |                |          |   |  |  |
| 98.  | - C H Robinson Worldwide, Inc. (common)      |  |  |  | Sold           | 02/11/13 | J |  |  |
| 99.  | - Canadian National Railways Co.<br>(common) |  |  |  |                |          |   |  |  |
| 100. | - Colgate Palmolive Co. (common)             |  |  |  |                |          |   |  |  |
| 101. | - Factset Research, Inc. (common)            |  |  |  |                |          |   |  |  |
| 102. | - Grainger WW, Inc. (common)                 |  |  |  |                |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

Date of Report

05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. - Hormel (common)                                                                                                      |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 104. - Magellan Midstream Partners                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               |                                |                                                                   |
| 105. - McDonalds Corp. (common)                                                                                             |                                         |                                               |                                                 |                                           | Sold                                            | 10/11/13                | J                               |                                |                                                                   |
| 106. - Medtronic, Inc. (common)                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 107. - Nike, Inc. (common)                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 108. - Novo Nordisk as ADR                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 109. - Target Corporation                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 110. - Toronto Dominion Bank F                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 111. - Petsmart                                                                                                             |                                         |                                               |                                                 |                                           | Buy                                             | 10/11/13                | J                               |                                |                                                                   |
| 112. - Praxair, Inc. (common)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 113. - T. Rowe Price Group (common)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 114. - TJX Companies (common)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 115. - US Bankcorp Del. New                                                                                                 |                                         |                                               |                                                 |                                           | Buy                                             | 02/11/13                | J                               |                                |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 01/14/13                | J                               |                                |                                                                   |
| 117. - 361 Managed Futures Strat Fund Cl 1                                                                                  |                                         |                                               |                                                 |                                           | Buy                                             | 08/28/13                | K                               |                                |                                                                   |
| 118. - Doubleline Total Return Bond Fund Cl 1                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 119. - Guggenheim ETF Bullet Shares 2014 Corp<br>Bond ETF                                                                   |                                         |                                               |                                                 |                                           | Buy                                             | 10/07/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. - Guggenheim ETF Bullet Shares 2015 Corp Bond Fund ETF                                                                 |                                         |                                               |                                                 |                                           | Buy                                             | 10/07/13                | J                               |                                |                                                                   |
| 121. - Guggenheim ETF Bullet Shares 2016 Corp Bond Fund ETF                                                                 |                                         |                                               |                                                 |                                           | Buy                                             | 10/07/13                | J                               |                                |                                                                   |
| 122. - Guggenheim ETF Bullet Shares 2017 Corp Bond Fund ETF                                                                 |                                         |                                               |                                                 |                                           | Buy                                             | 10/07/13                | J                               |                                |                                                                   |
| 123. - Guggenheim ETF Bullet Shares 2018 Corp Bond ETF                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 08/30/13                | J                               |                                |                                                                   |
| 124. - Guggenheim ETF Bullet Shares 2020 Corp Bond                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 08/30/13                | J                               |                                |                                                                   |
| 125. - iShares 2020 ETF Corp Ex-Financials Term                                                                             |                                         |                                               |                                                 |                                           | Buy                                             | 08/30/13                | J                               |                                |                                                                   |
| 126. - iShares Treasury Bond 1-3 Year Credit Bond ETF                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 03/07/13                | J                               |                                |                                                                   |
| 127.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/07/13                | J                               |                                |                                                                   |
| 128. - PIMCO Exh Traded Fund 1-5 yr US TIPS Index Exh.                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 03/07/13                | J                               |                                |                                                                   |
| 129. - PIMCO All Asset All Authority C1 Inst.                                                                               |                                         |                                               |                                                 |                                           | Buy                                             | 05/15/13                | J                               |                                |                                                                   |
| 130. - Vanguard Bond Index Fund                                                                                             |                                         |                                               |                                                 |                                           | Sold (part)                                     | 03/07/13                | J                               |                                |                                                                   |
| 131. - Vanguard Corporate Bond ETF Short-Term Corp. Bond                                                                    |                                         |                                               |                                                 |                                           | Sold (part)                                     | 08/30/13                | J                               |                                |                                                                   |
| 132.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/07/13                | K                               |                                |                                                                   |
| 133. - Vanguard Corp Bond ETF Intermediate-Term                                                                             |                                         |                                               |                                                 |                                           | Sold                                            | 08/30/13                | K                               |                                |                                                                   |
| 134. - Vanguard Intl Eqty Index ETF                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 135. - SPDR S&P Global ETF Natural Resources                                                                                |                                         |                                               |                                                 |                                           | Sold                                            | 05/15/13                | J                               |                                |                                                                   |
| 136. - SPDR Index Shares Fund Dow Jones Global Real                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/28/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. - SPDR Fincl SelectShares of Beneficial Int.                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 02/14/13                | J                               |                                |                                                                   |
| 138. - T. Rowe Price - Emerging Markets Fund                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 139. - Templeton Global Bond Fund                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 140. - Vanguard Inflation Protected Securities FD                                                                           |                                         |                                               |                                                 |                                           | Sold                                            | 03/07/13                | J                               |                                |                                                                   |
| 141. - XILINX, Inc. (common)                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 142. - Walgreen, Inc. (common)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 143. U.S Savings Bonds Type E                                                                                               | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 144. Wells Fargo Bank Accounts                                                                                              | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. Bank of America Account                                                                                                | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146. Fidelity Value Fund                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. Fidelity Cash Reserves                                                                                                 | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 148. RBC Wealth Management U.S. Govt Money<br>Market Account                                                                | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 149. Vanguard 500 Index IRA # 3                                                                                             | B                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 150. Fidelity Cal. Muni Market                                                                                              | A                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 151. Schwab Adv. Cash Reserve                                                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. Vanguard Limited Term Tax Exempt<br>Investor SHR                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. Brown Cap. Mgmt.                                                                                                       | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. UBS Cash Fund                                                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 155. Fidelity Blue Chip Growth                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 156. Fidelity Growth Strategies Fund                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 157. Novack [REDACTED] LLC (possible interest held<br>by estate of [REDACTED])                                              |                                         | None                                          | J                                               | Q                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

## FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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

GATX Pension Plan is listed in Part II. This agreement was inadvertently omitted from prior reports. The [REDACTED] is not receiving any present payments, and the future payments are unknown.

First Eagle Fund is not listed in IRA #1 in Part VII. This holding in this IRA was fully sold on January 23, 2012. This transaction was incorrectly listed as a "Buy" on that date in the 2012 financial report. This fund has been removed from this year's financial report.

Templeton Global Bond Fund is listed in IRA #2 in Part VII. This holding was incorrectly listed as being fully sold in the 2012 financial report. It was only partially sold on the date listed in the 2012 financial report. Accordingly, it is still listed in this year's financial report.

SPDR Index Shares Fund Dow Jones Global Real Estate Fund is listed in IRA # 2 in Part VII. The 2012 financial report incorrectly listed this holding as being fully sold on 02/10/12, which is incorrect. There was no transaction on that date for this holding. This holding was fully sold on 08/28/13, which is reflected in this year's financial report.

SPDR S&P Midcap 400 ETF is not listed in IRA #2 in Part VII. The 2012 financial report should have stated that this position was fully sold on 10/31/12. Accordingly, it is not listed in this year's financial report.

The estate of [REDACTED] is listed in Part VII. The LLC allegedly owned real property, which was appraised as of February 7, 2012.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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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/ Charles D. Novack**

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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