

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) ALQUIST, NANCY V.	2. Court or Organization BANKRUPTCY COURT, DISTRICT OF MARYLAND	3. Date of Report 06/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address CHAMBERS 2A 101 W. LOMBARD STREET BALTIMORE, MARYLAND 21201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	BOARD MEMBER	INTERNATIONAL JUDICIAL ACADEMY
2.	BOARD MEMBER	NATIONAL CONFERENCE OF BANKRUPTCY JUDGES
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1. ANNUAL

DISTRIBUTION FROM IRA

2.

3.

4.

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. COMMERCIAL LAW
DEVELOPMENT
PROGRAM (CLDP)
U.S. DEPARTMENT OF
COMMERCEAPRIL 1, 2015 -
APRIL 10, 2015BANJA LUKA, RS,
SARAJEVO, BOSNIA &
HERZEGOVINAMEETING WITH
ANOTHER
GOVERNMENT ENTITY,
PROGRAM WORKING
DATES 4/6, 4/7, 4/9, 4/15

TRAVEL HOTEL, MEALS

2. COMMERCIAL LAW
DEVELOPMENT
PROGRAM (CLDP)
U.S. DEPARTMENT OF
COMMERCEMAY 6, 2015 - MAY
13, 2015

YEREVAN, ARMENIA

MEETING WITH
ANOTHER
GOVERNMENT ENTITY,
PROGRAM, WORKING
DATES 5/11 - 5/12/15

TRAVEL HOTEL, MEALS

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

3.	COMMERCIAL LAW DEVELOPMENT PROGRAM (CLDP) U.S. DEPARTMENT OF COMMERCE	MAY 13, 2015 - MAY 15, 2015	TBILISI, REPUBLIC OF GEORGIA	MEETING WITH ANOTHER GOVERNMENT ENTITY, PROGRAM, WORKING DATES 5/14 - 5/15,15	TRAVEL HOTEL, MEALS
4.	COMMERCIAL LAW DEVELOPMENT PROGRAM (CLDP) U.S. DEPARTMENT OF COMMERCE	AUGUST 5, 2015 B- AUGUST 15, 2015	NEW DELHI, INDIA	MEETING WITH ANOTHER GOVERNMENT ENTITY, PROGRAM WORKING DATES 8/10-8/12/15	TRAVEL HOTEL, MEALS
5.	NATIONAL CONFERENCE OF BANKRUPTCY JUDGES	SEPTEMBER 27, 2015 - SEPTEMBER 29, 2015	MIAMI BEACH, FLORIDA	NATIONAL CONFERENCE OF BANKRUPTCY JUDGES	TRAVEL, HOTEL, MEALS
6.	COMMERCIAL LAW DEVELOPMENT PROGRAM (CLDP) U.S. DEPARTMENT OF COMMERCE	NOVEMBER 5, 2015 - NOVEMBER 14, 2015	CASABLANCA, MOROCCO	MEETING WITH ANOTHER GOVERNMENT ENTITY, PROGRAM WORKING DATES 11/12 - 11/13/15	TRAVEL, HOTEL, MEALS

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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

1. PERSONALLY OWNED (HEADER)									
2. M & T CHECKING	A	Interest	J	T					
3. VANGUARD INDUSTRIAL INDEX FUND	A	Dividend	N	T					
4. HARBOR CAPITAL APPRECIATION	A	Dividend	N	T					
5.									
6. SPOUSE OWNED (HEADER)									SEE PART VIII
7. M & T CHECKING	A	Interest	J	T					
8. BAIRD MONEY MARKET	A	Interest	J	T					
9.									
10. SPOUSE IRA (HEADER)									
11. ROYCE FUND PENNSYLVANIA RYPCX	A	Dividend	K	T	Sold (part)	02/17/15	J	A	
12.					Sold (part)	02/18/15	K	A	
13.					Sold (part)	05/21/15	J	A	
14. BAIRD MONEY MARKET	A	Interest	J	T					
15. CLEARBRIDGE SPECIAL INVESTMENT LMSAX	A	Dividend			Sold	02/17/15	K	A	
16. LEGG MASON CAP MANAGEMENT OPPORTUNITY LMOPX	A	Dividend	M	T	Sold (part)	05/29/15	K	A	
17.					Sold (part)	08/07/15	K	A	

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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

18.					Sold (part)	10/01/15	K	A	
19. FED INT SMALL MID CAPITAL FD ISCAX	A	Dividend	L	T					
20. COMPUGEN CGEN	A	Dividend			Sold	10/01/15	J	A	
21. PRUDENTIAL INV. JENNISON EQUITY INCOME JEIBX	A	Dividend	L	T	Sold (part)	05/29/15	J	A	
22. PRUDENTIAL INV. JENNISON 20/20 FOCUS PTWBX	A	Dividend	L	T	Sold (part)	05/29/15	K	A	
23. FEDERATED EQUITY RIMAX (INTERCONTINENTAL) (INTERCONTINENTAL)	A	Dividend	J	T					
24. PUTNAM CAPITAL SPECTRUM CL B PVSXB	A	Dividend	L	T					
25. PRINCIPAL SMALL MID CAP DIVIDEND INCOME CL A PMDAX	A	Dividend	L	T					
26. MILLER INCOME OPPTY LMCJX	A	Dividend	L	T					
27. FEDERATED INT LEADERS FGFA	A	Dividend	L	T	Buy	05/29/15	L		
28. HARTFORD GROWTH OPPTYS CL A HGOAX	A	Dividend	L	T	Buy	08/07/15	K		
29.					Buy (add'l)	10/13/15	K		
30. DEARBORN PARTNERS RISING DIVIDEND CL A DRDAX	A	Dividend	K	T	Buy	02/18/15	L		
31.									
32.									

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

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

PART VII

MARRIED, SEPTEMBER 20, 2014

LINES 7-26, ASSETS OWNED BY SPOUSE ON DECEMBER 31, 2014

LINES 27 - 30, ASSETS ACQUIRED BY SPOUSE IN 2015 AS INDICATED

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

ALQUIST, NANCY V.

Date of Report

06/13/2016

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/ NANCY V. ALQUIST

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544