

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Brown, Karen K.	2. Court or Organization U.S. Bankruptcy Court Southern District of Texas	3. Date of Report 8/15/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 515 Rusk Street Houston, Texas 77002		
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.	
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 11/7/2016	Purchase of condo [REDACTED] Houston TX 77027. Seller, Robert Rivera. Cash.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Brown, Karen K.

Date of Report

8/15/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

Brown & Lewis L.L.P. (law firm), salary

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Brown, Karen K.

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8/15/2017

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Brown, Karen K.

Date of Report

8/15/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IRA Money Mkt. Merrill LYnch	B	Int./Div.	L	T					
2. San Juan Basin Royalty Trust	B	Dividend	K	T					
3. JP Morgan Chase BK Cash Account	A	Interest	M	T					
4. US Treasury Direct	A	Interest	M	T					
5. Exxon Common Stock	A	Dividend	K	T					
6. Bank of America Cash Accounts	A	Dividend	J	T					
7. Royal Bank of Canada Deposit	C	Interest	N	T					
8. IRA JPMorgan Chase BK rollover money Mkt	E	Int./Div.	P1	T					
9. RBC Capital Mkts Corp	E	Int./Div.	O	T	Redeemed	11/07/16	M	A	For condo purchase
10. Sep IRA Merrill Lynch	C	Int./Div.	N	T					
11. Intel Common Stock	A	Dividend	J	T					
12. Apple Common Stock	B	Dividend	K	T					
13. Royal Int. Grimes City, Tx	B	Royalty	K	W					
14. Nautilus Minerals Stock	A	Dividend	J	T					
15. Suncor Energy Common Stock	A	Dividend	K	T		01/10/16			Acq. Canadian Oil Sands
16. Wells Fargo Bank Account	A	Interest	L	T	Redeemed	11/07/16	N	A	For condo purchase
17. Webb City Royalty Int	C	Royalty	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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18. Merrill Lynch CMA Account Cash Account	D	Int./Div.	O	T	Redeemed	11/07/16	N	A	For condo purchase
19. Barrick Gold Corp	A	Dividend	K	T					
20. Birchcliff Energy Corp	A	Dividend	J	T					
21. Anglo Gold Common Stock	A	Dividend	K	T					
22. Consolidated Common Stock	A	Dividend	J	T					
23. Gold Corp Common Stock	A	Dividend	K	T					
24. Newcrest Mining Common Stock	A	Dividend	K	T					
25. Kinder Morgan Common Stock	A	Dividend	K	T					
26. Verizon Common Stock	B	Dividend	K	T					
27. Kimco Realty Common Stock	B	Dividend	K	T					
28. Liberty Property Trust	B	Dividend	K	T					
29. Shore Gold Common Stock	A	Dividend	J	T					
30. Permian Basin Royalty Trust	B	Dividend	K	T					
31. US Treasury	B	Interest	M	T	Buy (add'l)	12/08/16	L		
32. United Technology Bonds	B	Interest	M	T					
33. Walmart Bonds	B	Interest	M	T					
34. Holly Frontier Corp. Common Stock	A	Dividend	J	T	Buy	05/17/16	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Brown, Karen K.

Date of Report

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35. Berkshire Hathaway Bonds	A	Interest	M	T	Buy	12/30/16	M		
36.									
37.									
38.									
39.									
40.									
41.									
42.									
43.									
44.									
45.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Brown, Karen K.

Date of Report

8/15/2017

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

Part VII. Item previously listed at Row 18 was a header line. The underlying assets are reflected separately in Part VII (Lines 2 and 33).

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Brown, Karen K.

Date of Report

8/15/2017

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/ **Karen K. Brown**

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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