

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Ellis-Monro, Barbara J.	2. Court or Organization U.S. Bankruptcy Court, Northern District of Georgia	3. Date of Report 5/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 75 Ted Turner Drive., SW, Rm. 1430 Atlanta, GA 30303		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1984	Sears Holding Pension Plan fka Kmart Pension Plan (See Part VIII)
2.	
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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. 2018	Turner Services, Inc. salary; bonus
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

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

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

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Associated Credit Union Accounts	B	Int./Div.	N	T					
2. Northwestern Mutual Whole Life	C	Dividend	M	T					
3. Path 2 College 529 Plan - TIAA CREF Balanced Option		None	K	T					
4. Brokerage Account #1 - Northwestern Mutual account (H)									
5. American Funds Inc Fnd of Amr A	B	Dividend	K	T					
6. Brokerage Money Market	A	Interest	J	T					
7. New Perspective Fund - A	B	Dividend	K	T					
8. The Bond Fund of Amercia - A	A	Interest	J	T					
9. The Growth Fund of America - A	C	Dividend	K	T					
10. The Investment Company of America - A	C	Dividend	K	T					
11. Washington Mutual Investors Fund - A	B	Dividend	K	T					
12. IRA #1 - Northwestern Mutual (H)									
13. Brokerage Money Market	A	Interest	J	T					
14. New Perspective Fund - A	A	Dividend	J	T					
15. The Growth Fund of America - A	B	Dividend	K	T					
16. The Investment Company of Amercia - A	B	Dividend	K	T					
17. Washington Mutual Investors Fund - A	B	Dividend	K	T					

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

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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				
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18. IRA #2 Northwestern Mutual IRA (H)									
19. American Funds Inc Fnd of Amr A	B	Dividend	K	T					
20. Brokerage Money Market	A	Interest	J	T					
21. New Perspective Fund -A	A	Dividend	J	T					
22. The Bond Fund of America - A	A	Interest	J	T					
23. The Investment Co. of America - A	B	Dividend	K	T					
24. Washington Mutual Investors Fund - A	B	Dividend	K	T					
25. The Growth Fund of America - A	B	Dividend	K	T					
26. Warner Media LLC 401(k) (H) (See Part VIII)	A	Dividend	O	T					
27. - International Eq A Investment Trust		None	K	T	Sold (part)	01/22/18	J		
28. -T. Rowe Price Large Cap Core Growth		None	M	T	Sold (part)	01/22/18	L		
29. -DFA Emrg Mkt Core Equity	A	Dividend	K	T	Sold (part)	01/22/18	J		
30. - Fidelity Large Cap Value Fund		None	L	T	Sold (part)	01/22/18	L		
31. -Fidelity Bond Index		None	N	T	Buy (add'l)	01/22/18	M		
32. -Fidelity Int'l Index		None	K	T	Sold (part)	01/22/18	J		
33. -Fidelity S&P 500 Index		None	K	T	Buy (add'l)	01/22/18	J		
34. -Fidelity Small Cap Index		None	K	T	Sold (part)	01/22/18	L		

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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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35. Wells Fargo HSA (See part VIII)	A	Interest	J	T					
36. US Treasury Bonds	A	Interest	J	T					
37. Guardian Life Ins. Co. of America whole life	D	Dividend	M	T					
38. Sears Holding Pension Plan (See part VIII)		None			Distributed	12/26/18	J		
39. Vanguard IRA (H)									
40. -Vanguard Federal Money Market Fund	A	Dividend	J	T	Buy (add'l)	12/26/18	J		
41. Vanguard SEP IRA (H)									
42. -Vanguard 500 Index Fund Admiral Shares	A	Dividend	K	T					
43. -Vanguard Total Int'l Index Fund Admiral Shares	A	Dividend	J	T					

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

II. Agreements

The plan offered a limited time opportunity to receive a distribution of holdings which option was exercised and funds from this plan were rolled over into an IRA at Vanguard in December, 2017. I received an unanticipated second distribution from this plan in December, 2018 that was also put into the Vanguard IRA. It is possible that future distributions could be received from this pension plan.

VII. Investments and Trusts:

Line 26: The name of [REDACTED] changed with the purchase [REDACTED] employer by another entity.

Line 35: [REDACTED] opened an HSA account in 2012. This account has inadvertently not been reported until this year. In each of the years 2012-2017 the interest earned on this account was in category A and the total value of the account was in category J.

Line 38: The distribution received last year was reported as a distribution in full because I believed that I would receive a one time payment from the Sears Pension. I received an unanticipated distribution in December, 2018, that I put into the Vanguard IRA (see line 40) in December, 2018.

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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/ **Barbara J. Ellis-Monro**

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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