

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) Hollis, Pamela S.	2. Court or Organization Bankruptcy Court ND Illinois	3. Date of Report 07/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	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 219 S. Dearborn Street Chambers 648 Chicago IL 60604		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

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.

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.

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. Custodian Trust #1									
2. Etrade Cash Equivalent (not JP Morgan see part 8)	A	Interest	J	T					
3. ---MCD McDonalds Corporation	A	Dividend	J	T					
4. ---GE General Electric					Buy	01/14/18	J		
5.					Sold	01/24/18	J	A	
6. ---BLOK	A	Dividend			Buy	01/24/18	J		
7.					Buy (add'l)	03/20/18	J		
8.					Sold	11/20/18	J	A	
9.									
10. ---ACB		None	J	T	Buy	12/31/18	J		
11.									
12.									
13. IRA#1									
14. Etrade Cash Equivalent (not JP Morgan see part 8)	A	Interest	M	T					
15.									
16. AAPL Apple Corp.	C	Dividend	M	T	Sold (part)	03/01/18	L	E	
17.					Sold (part)	03/22/18	K	E	

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		

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☐ 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)
18.					Sold (part)	11/14/18	L	E	
19.					Sold (part)	11/20/18	K	D	
20.					Sold (part)	11/27/18	K	D	
21.									
22. CTL Century Telephone Corp	A	Dividend			Buy (add'l)	03/29/18	J		
23.					Buy (add'l)	05/29/18	J		
24.					Sold	11/09/18	J	A	
25.									
26. BLOK		None	J	T	Buy	01/17/18	J		
27.					Sold	03/19/18	J	A	
28.					Buy	03/22/18	J		
29.									
30. ARKK		None			Buy	03/22/18	J		
31.					Buy (add'l)	04/02/18	J		
32.					Sold	11/20/18	J	A	
33.									
34. ACB		None	J	T	Buy	09/20/18	J		

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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35.					Buy (add'l)	11/13/18	J		
36.									
37. MCD Mar 29'18 145 Put		None			Sold	03/06/18	J		
38.					Closed	03/19/18	J	A	
39. MCD Dec 21'18 150 Put		None			Sold	05/29/18	J		
40.					Closed	10/30/18	J	A	
41. FB Mar 29'18 165 Put		None			Sold	03/19/18	J		
42.					Closed	03/22/18	J	A	
43. FB Aug 17'18 155 Put		None			Sold	01/19/18	J		
44.					Closed	05/29/18	J	A	
45. BHF Dec'18 40 Put		None			Sold	07/10/18	J		
46.					Closed	08/13/18	J	A	
47. Z Nov'16 18 Put		None			Sold	08/07/18	J		
48.					Closed	11/07/18	J	A	
49.									
50.									
51.									

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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52. Brokerage #1 (Individual assets listed below)									
53. ETrade Cash Equivalent (not JP Morgan-see Part 8)	A	Interest	J	T					
54.									
55.									
56. Brokerage #2									
57. ETrade Cash Equivalent (not JP Morgan-see Part 8)	A	Interest	J	T					
58. --ETCF Etrade	A		J	T					
59.									
60. USAA Flexible Premium Adjustable Life Insurance Policy	B	Interest	K	T					
61.									
62. Bank of America Cash Equivalent		None	J	T					
63.									
64. IRA #2									
65. ----Biofuels Power Corp		None	J	T					
66.									
67.									
68.									

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

Investment accounts only record the option transactions in companies where I did not own the underlying stock continuously. Calls and Puts on AAPL were sold in IRA account to hedge prices of common stock and do not add any information regarding ownership that is not already reflected in common stock. (Covered Calls and cash covered Puts) IRA Option premiums were small monthly transactions to insure maintenance of the underlying common stock price.

NEW INFORMATION FOR AMENDED REPORT --RESPONSE REQUIRED:

In the investment accounts I have at Etrade, I misunderstood how my free cash earned interest. It is not a choice I made but a default applied by Etrade. At one point in time (possibly two years ago) they apparently stopped sweeping cash into JP Morgan and Etrade simply paid me interest on all the accounts I have with them. It was not apparent how they hold the cash in my accounts when I accessed the web-my usual way of interacting with the broker. I had to call Etrade after the Committee asked me to elaborate on the places where I listed my cash in Etrade with JPMorgan funds. Etrade explained because I was a long time customer, they paid me interest under a special program called "Accommodation Free Credit". The interest is paid on cash balances at a rate of 0.67%, which Etrade explained is a special rate a bit higher than what they pay by default. Apparently, I hold no assets in JP Morgan Money Market or JP Morgan Municipal Money Market as I had thought and reported. The key point is that Etrade pays the interest and I did not elect to invest the cash in any specific money market. They could not indicate to me on the phone (spoke to a person named "Ryan") when they actually switched how my cash earns interest, but stated approximately 1 to two years ago. So at one point in time, free cash was swept into JP Morgan accounts, by default. That default was switched a few years ago unknown to me. In reality, I selected neither JP Morgan (when they accounts were opened long ago) or the current program where interest is paid direct by Etrade. Given what I learned, I amended my report to replace JP Morgan accounts with Etrade Cash Equivalent Accounts.

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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/ Pamela S. Hollis**

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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