

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) Kahn, Benjamin A.	2. Court or Organization United States Bankruptcy Court (MDNC)	3. Date of Report 11/15/2019
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 United States Bankruptcy Court 101 South Edgeworth Street Greensboro, North Carolina 27401		
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.	POA	Family Member 1
2.	POA	Family Member 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.		
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. 01/09/18	Matthew Bender - Author fee Collier on Bankruptcy	\$1,400.00
2. 03/22/18	Matthew Bender - Author fee Collier on Bankruptcy	\$2,400.00
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. 2018	Wells Fargo - salary
2. 2018	SunTrust - salary
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. Middle District Bankruptcy Seminar, Inc.	April 12-14, 2018	Durham, NC	Bankruptcy Seminar	Hotel, mileage, meals
2. American Bankruptcy Institute	April 20-21, 2018	Washington, DC	Bankruptcy Seminar	Hotel, travel, meals
3. North Carolina Bar Foundation Annual Bankruptcy Institute	November 1-2, 2018	Pinehurst, NC	Bankruptcy Seminar	Hotel, travel, meals
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.)*

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.		
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. Wells Fargo Account (y)									
2. Collegebound Fd 529 Agressive Growth 1996-1998 Alt R	A	Int./Div.			Sold	03/31/18	L	A	
3. Collegebound 529 #1(H)									
4. -Invesaco Collegebound Today Portfolio I	A	Int./Div.	L	T	Open	03/31/18	L		
5. Collegebound Fd 529 Aggressive Growth 1999-2001 Alt R	A	Int./Div.			Sold	03/31/18	L	A	
6. Collegebound 529 #2(H)									
7. -Invesco Collegebound Today Portfolio I	A	Int./Div.	L	T	Open	03/31/18	L		
8. Wells Fargo Investment Account #5(H)									
9. -CD-12 month Deposit	A	Interest			Sold	03/23/18	J	A	
10. -S&P Midcap Index Fund	A	Dividend			Sold	03/23/18	J	A	
11. -Russell Smallcap Index Fund	A	Dividend			Sold	03/23/18	J	A	
12. -Nasdaq 100 Index Fund	A	Dividend			Sold	03/23/18	J	A	
13. -S&P 500 Index Fund	B	Dividend			Sold	03/23/18	J	A	
14. -Wells Fargo International Equity Fund	A	Dividend			Sold	03/23/18	J	A	
15. SunTrust Cash Accounts	A	Interest	L	T					
16. SunTrust Investment Account #1(H)									
17. -SPY ETF	D	Dividend	M	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	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	

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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 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. SunTrust Investment Account #2(H)									
19. -SunTrust Fiduciary Master Deposit Account	A	Dividend	K	T					
20. -Nuveen Limited Term Municipal Bond Fund	A	Dividend			Sold	01/29/18	J	A	
21. -Virtus Seix FLT RT High Inc Fd	A	Dividend			Buy (add'l)	01/29/18	J		
22.					Sold	12/24/18	J	A	
23. -Dodge & Cox Int'l Stock Fund	A	Dividend			Sold	12/24/18	J	A	
24. -Federated Strategic Value Fund	A	Dividend			Sold	12/24/18	J	A	
25. -Harbor Capital Appreciation Fund	A	Dividend			Sold	12/24/18	J	A	
26. -Harbor International Fund	A	Dividend			Sold	01/29/18	J	A	
27. -iShares Core S&P Small Cap ETF	A	Dividend	J	T	Sold (part)	01/29/18	J	A	
28. -iShares Russell Midcap ETF	A	Dividend	J	T	Sold (part)	01/29/18	J	A	
29. -Morgan Stanley Frontier Emerging Fund	A	Dividend			Sold	01/29/18	J	A	
30. -SPDR S&P 500 ETF	A	Dividend			Buy (add'l)	01/29/18	J		
31.					Buy (add'l)	08/08/18	J		
32.					Sold	12/24/18	J	A	
33. -Vanguard FTSE Emerging Fund	A	Dividend	J	T					
34. -ASG Global Alternatives Fund	A	Dividend			Sold	12/24/18	J	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	
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35. DFA S-T EXT Quality Fd.	A	Dividend			Sold	12/24/18	J	A	
36. -ishares core S&P 500 ETF	A	Dividend	K	T	Buy	12/24/18	K		
37. -ishares core MSCI EAFE ETF	A	Dividend	K	T	Buy	01/29/18	K		
38. -ishares DJ Select Div ETF	A	Dividend	J	T	Buy	12/24/18	J		
39. SunTrust Investment Account #3(H)									
40. -Federated Government Obligations Trust	A	Dividend	J	T					
41. -SPDR S&P 500 ETF	A	Dividend	K	T					
42. SunTrust Investment Account #4(H)									
43. -Federated Government Obligations Trust	A	Dividend	J	T					
44. -SPDR S&P 500 ETF	A	Dividend	K	T					
45. SunTrust IRA Rollover #3(H)									
46. -SunTrust Fiduciary Master Deposit Account	C	Dividend	M	T					
47. -AAPL Common	A	Dividend	K	T					
48. -I-shares Core S&P Small Cap ETF	A	Dividend	K	T	Sold (part)	01/29/18	M	E	
49.					Buy (add'l)	05/15/18	J		
50. -I-shares DJ Select Div ETF	C	Dividend	L	T					
51. -I-shares MSCI EAFE ETF	D	Dividend	M	T	Buy (add'l)	01/29/18	M		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Buy (add'l)	05/15/18	K		
53. -I-shares Russell Midcap ETF	B	Dividend	L	T	Sold (part)	01/29/18	L	D	
54.					Buy (add'l)	05/15/18	J		
55. -SPDR S&P 500 ETF	D	Dividend	N	T	Buy (add'l)	05/15/18	K		
56.					Buy (add'l)	08/08/18	K		
57. -Vanguard FTSE Emerging Markets ETF	A	Dividend	L	T	Buy (add'l)	01/29/18	J		
58.					Buy (add'l)	05/15/18	J		
59. -Virtus Seix FLT RT High Inc Fd.	D	Dividend	M	T	Buy (add'l)	01/29/18	J		
60.					Buy (add'l)	05/15/18	J		
61. -DFA Int'l Small Co.	A	Dividend			Buy	01/29/18	K		
62.					Buy (add'l)	05/15/18	K		
63.					Sold	08/08/18	K	A	
64. SunTrust IRA Rollover #4(H)									
65. -SunTrust Fiduciary Master Deposit Account	A	Dividend	J	T					
66. -I-shares Core S&P Small Cap ETF	A	Dividend	J	T	Sold (part)	01/29/18	K	C	
67. -I-shares DJ Select Div ETF	A	Dividend	J	T					
68. -I-shares MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	01/29/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. -I-shares Russell Midcap ETF	A	Dividend	J	T	Sold (part)	01/29/18	J		
70. -SPDR S&P 500 ETF	A	Dividend	K	T	Buy (add'l)	08/08/18	J		
71. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
72. -Virtus Seix FLT RT High Inc Fd	A	Dividend	J	T	Buy (add'l)	01/29/18	J		
73. -DFA Int'l Small Co.	A	Dividend			Buy	01/29/18	J		
74.					Sold	08/08/18	J	A	
75. SunTrust IRA Rollover #1(H)									
76. -SunTrust Fiduciary Master Deposit Account	B	Dividend	L	T					
77. -Virtus Seix FLT RT High Inc Fd	C	Dividend	L	T	Buy (add'l)	01/29/18	K		
78. -T-Rowe Price ST Bond Fund	A	Dividend	J	T					
79. -Dodge & Cox Int'l Stock Fund	A	Dividend	K	T					
80. -Federated Strategic Val DivFund	B	Dividend	K	T					
81. -Harbor Capital Appreciation Fund	D	Dividend	L	T					
82. -Harbor International Fund	A	Dividend			Sold	01/29/18	K	A	
83. -I-shares Core S&P Small Cap ETF	A	Dividend	K	T	Sold (part)	01/29/18	L	D	
84. -I-shares Russell Midcap ETF	A	Dividend	K	T	Sold (part)	01/29/18	K	B	
85. -Morgan Stanley Frontier Emerging Fund	A	Dividend			Sold	03/29/18	K	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. -Oppenheimer Dev. Markets Fund	A	Dividend	K	T					
87. -SPDR S&P 500 ETF	B	Dividend	L	T	Buy (add'l)	01/29/18	K		
88.					Buy (add'l)	08/08/18	K		
89. -ASG Global Alternatives Fund	A	Dividend			Sold	01/29/18	K	B	
90. -Boston Partners Long/Short Fund	B	Dividend	K	T					
91. -Vanguard FTSE EM ETF	A	Dividend	K	T	Buy	01/29/18	K		
92. -I-shares MSCI EAFE ETF	B	Dividend	L	T	Buy	01/29/18	L		
93. -DFA Int'l. Small Co.	A	Dividend			Buy	01/29/18	K		
94.					Sold	08/08/18	K	A	
95. SunTrust IRA Rollover #2(H)									
96. -SunTrust Fiduciary Master Deposit Account	A	Dividend	K	T					
97. -Virtus Seix FLT RT High Inc Fd	A	Dividend	K	T	Buy (add'l)	01/29/18	J		
98. -T-Rowe Price ST Bond Fund	A	Dividend	J	T					
99. -Dodge & Cox Int'l Stock Fund	A	Dividend	J	T					
100. -Federated Strategic Val. Div. Fund	A	Dividend	J	T					
101. -Harbor Capital Appreciation Fund	B	Dividend	K	T					
102. -Harbor International Fund	A	Dividend			Sold	01/29/18	J	A	

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103. -I-shares Core S&P Small Cap ETF	A	Dividend	J	T	Sold (part)	01/29/18	K	C	
104. -I-shares Russell Midcap ETF	A	Dividend	J	T	Sold (part)	01/29/18	J	A	
105. -Morgan Stanley Frontier Emerging Fund	A	Dividend			Sold	03/29/18	J	A	
106. -Oppenheimer Dev. Markets Fund	A	Dividend	J	T					
107. -SPDR S&P 500 ETF	A	Dividend	K	T	Buy (add'l)	01/29/18	J		
108.					Buy (add'l)	08/08/18	J		
109. -ASG Global Alternatives Fund	A	Dividend			Sold	01/29/18	J	A	
110. -Boston Partners Long/Short Fund	A	Dividend	J	T					
111. -Vanguard FTSE Em Mkt ETF	A	Dividend	J	T					
112. -I-shares MSCI EAFE ETF	A	Dividend	K	T	Buy	01/29/18	K		
113. -DFA Int'l. Small Co.	A	Dividend			Buy	01/29/18	J		
114.					Sold	08/08/18	J	A	
115. SunTrust 401-K (H)									
116. -Vanguard Institutional Index Fund	A	Dividend	K	T	Sold (part)	10/15/18	K	A	
117. -Vanguard Russell Extended Market Index	A	Dividend	J	T	Buy (add'l)	10/15/18	J		
118. -Vanguard Total International Stock Index	A	Dividend	J	T	Sold (part)	10/15/18	J	A	
119. -Vanguard Treasury Money Market	A	Dividend	J	T	Buy (add'l)	10/15/18	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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Name of Person Reporting

Kahn, Benjamin A.

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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)
120. -Vanguard Short Term Bond Index	A	Dividend	J	T	Sold (part)	10/15/18	J	A	
121. -Vanguard Russell 1000 Growth	A	Dividend	K	T	Buy	10/15/18	K		
122. -Vanguard Russell 2000 Growth	A	Dividend	J	T	Buy	10/15/18	J		
123. Optum HSA Account	A	Interest	J	T					
124. SunTrust Deferred Salary Plan	A	Interest	K	T	Open	04/02/18	K		

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	

Name of Person Reporting	Date of Report
Kahn, Benjamin A.	11/15/2019

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

Asset previously listed on line 124 of Section VII is not reportable and should not have been listed.

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Name of Person Reporting

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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/ **Benjamin A. Kahn**

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