

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) Mund, Geraldine	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 01/24/2020
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 21041 Burbank Blvd. Woodland Hills, CA 91356		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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. Bank of America	A	Interest	K	T					
2. Real Estate Investments in Israel (Kiryat Bialik)	A	Interest	J	U					
3. State of Israel Bonds	A	Interest	J	T					
4. Rental Property, Sherman Oaks, CA	E	Rent	O	W					
5. Vacant Land Kern County, CA - appraisal by State 2003		None	K	Q					
6. WELLS FARGO ADVISORS									
7. - Aegon NV	A	Dividend	J	T					
8. - San Francisco CA County Public Utils	A	Interest	J	T					
9. - Wells Fargo Sweep Account	A	Interest	J	T					
10. - AB Mun Income Fd, Inc. High Income Mun	A	Dividend			Sold	08/23/18	J	A	
11. - AT&T, Inc. (5.35%)	A	Interest			Sold	08/23/18	K		
12. - Bandes Inv Tr Emerging Mkts Value	A	Dividend			Sold	08/13/18	J		
13. - Dreyfus Alcentra Global Cr. Income 2024 Target Term FD Inc	B	Dividend	K	T					
14. - Deutsche Global/Intl Fund [DWS RREEF Global Inst]	A	Dividend			Sold	08/24/18	J	A	
15. - Dreyfus High Yield Muni	A	Dividend			Sold	08/23/18	J	B	
16. - Emerson Electric Co	A	Dividend	J	T					
17. - Fidelity Advisor Biotechnology cl l		None			Sold	08/23/18	J	A	

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	
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 5 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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. - Fidelity Strat Div Inc-I	A	Dividend			Sold	08/23/18	J	B	
19. - Financial Inv. Trust Emerald Bkg & Fin Fd	A	Dividend			Sold	12/16/15	J		
20. - Glaxosmithkline PLC-ADR	A	Dividend			Sold	08/23/18	J	A	
21. - International Business Machine Corp	A	Dividend			Sold	08/23/18	J	A	
22. - Invesco High Income 2024 Target Term FD	A	Dividend	J	T					
23. - Invesco High Yield Muni Fund	A	Dividend			Sold	08/23/18	J	A	
24. - JP Morgan TR 1 Income Bldr FD1 cl	A	Dividend			Sold	08/23/18	J	A	
25. - Lord Abbott High Yield Fund Class F	A	Dividend			Sold	08/23/18	J	A	
26. - MFS Ser Tr XIII Diversitified Income Fund	A	Dividend			Sold	08/23/18	J	A	
27. - Pimco FDS Income Fund	A	Dividend			Sold	08/23/18	J	A	
28. - Proctor & Gamble	A	Dividend			Sold	08/23/18	J	A	
29. - Prudential World Fd Jennison Global Oppty Fund [PGIM Global]		None	J	T					
30. - Qualcomm, Inc.	A	Dividend	J	T					
31. - Virtus Global Multi Sector Income	A	Dividend			Sold	08/23/18	J	A	
32. - Allianzgi Inc & Growth	A	Dividend	J	T	Buy	04/13/18	J		
33. - William Blair Small Cap	A	Dividend	J	T	Buy	08/13/18	J		
34. - Dreyfus Equity Income	A	Dividend	J	T	Buy	08/13/18	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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)

35. - AT&T (5.625%)	A	Interest	J	T	Buy	07/25/18	J		
36. - Brighthouse Finl PDF	A	Interest	J	T	Buy	09/05/18	J		
37. - Symetra Life Ins. Annuity contract - fixed rate		None	M	T	Buy	08/30/18	L		
38.									

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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

Part VII, line 11 - AT&T, Inc. should have been identified as AT&T, Inc. (5.35%).

Part VII, line 14 - now known as DWS RREEF Global Inst instead of Deutsche Global/Intl Fund.

Part VII, line 19 - Financial Invs Trust Emerald Growth was sold on 12/16/15 for under \$15,000. No gain on the sale.

Part VII, line 29 - Prudential World FD Jennison Global Opptys Fund is now PGIM Global.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Mund, Geraldine

Date of Report

01/24/2020

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/ Geraldine Mund**

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