

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) Novack, Charles D.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 05/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Court 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 1300 Clay Street, Courtroom 215 Oakland, CA 94612		
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. Professor	UC Hastings College of the Law
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 12

Name of Person Reporting

Novack, Charles D.

Date of Report

05/13/2019

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. 2018	Hastings College of the Law, payment for teaching during spring 2018 semester	\$4,934.25
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. 2018	Self-employed attorney
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. National Conference of Bankruptcy Judges	October 28 - 31, 2018	San Antonio, Texas	Conference	two nights at hotel
2. Central District Consumer Bankruptcy Attorneys Association	January 27, 2018	Los Angeles, California	Conference	hotel and airfare
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Novack, Charles D.

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05/13/2019

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.	Nordstrom	credit card	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Novack, Charles D.

Date of Report

05/13/2019

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 #1 (H)									
2. - Schwab Ad. Cash Reserve	A	Dividend	J	T	Sold (part)	01/02/18	J		
3.					Sold (part)	01/05/18	J		
4.					Buy (add'l)	01/30/18	J		
5.					Sold (part)	02/13/18	J		
6.					Sold (part)	04/04/18	J		
7.					Sold (part)	04/04/18	J		
8. -Accenture PLC Class A	A	Dividend	K	T					
9. - Amgen Inc. (common)	B	Dividend	K	T					
10. - Auto Data Processing (common)	A	Dividend	K	T	Buy	08/14/18	K		
11. -Canadian National Railways Co. (common)	A	Dividend	K	T					
12. -Cummins, Inc. (common)	A	Dividend			Sold	08/14/18	K	B	
13. - CVS Health Corp. (common)	A	Dividend			Sold	01/09/18	K	A	
14. -Estee Lauder Co, Inc., Classs A	A	Dividend	K	T	Sold (part)	01/09/18	J	A	
15.					Sold (part)	04/02/18	J	B	
16. -Factset Research System, Inc. (common)	A	Dividend	K	T					
17. FedEx Corp. (common)	A	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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18. -Hormel (common)	A	Dividend	K	T					
19.									
20. - KeyCorp, Inc. (common)	A	Dividend	K	T	Buy	01/25/18	K		
21.					Buy (add'l)	07/23/18	J		
22. - Lowe's Companies, Inc. (common)	A	Dividend	K	T	Buy	02/09/18	K		
23.					Buy (add'l)	07/23/18	J		
24. - Magellan Midstream Partners (common)	A	Dividend			Sold	04/02/18	J	D	
25. - Metronic, Inc. (common)	A	Dividend	K	T					
26. -Nike, Inc. (common)	A	Dividend	K	T	Sold (part)	08/14/18	J	A	
27. -Novo - Nordisk as ADR		None			Sold	02/16/18	K	E	
28. - Sherman-Williams Co. (common)	A	Dividend	K	T					
29. -Starbucks Corp. (common)	A	Dividend	K	T	Buy (add'l)	07/23/18	J		
30. - Texas Instruments (common)	A	Dividend	K	T	Buy	02/16/18	K		
31. -TJX Companies (common)	A	Dividend	K	T					
32. - Toro Company (common)	A	Dividend	K	T	Buy (add'l)	07/23/18	J		
33. - Toronto Dominion Bank	A	Dividend			Sold	01/25/18	K	D	
34. -United Health Group, Inc (common)	A	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. - Zoetis, Inc. (Class A)	A	Dividend	K	T	Buy	04/02/18	K		
36. - Doubleline Total Return Bond Fund C1 I	B	Dividend	L	T	Buy (add'l)	07/23/18	J		
37. - Doubleline Emerging Markets Income Fund C1 I	A	Dividend	K	T	Buy	10/31/18	K		
38. - Guggenheim ETF Bullet Shares 2018 Corp Bond	A	Dividend			Sold	01/18/18	K	A	
39. - Invesco (formerly Guggenheim) ETF Bullet Shares 2019 Corp Bond	A	Dividend	K	T					
40. - Invesco (formerly Guggenheim) ETF Bullet Shares 2020 Corp Bond	A	Dividend	K	T	Buy (add'l)	07/23/18	J		
41. - Invesco (formerly Guggenheim) ETF Bullet Shares 2021 Corp Bond	A	Dividend	K	T	Buy (add'l)	02/21/18	J		
42.					Buy (add'l)	07/23/18	J		
43. - Invesco (formerly Guggenheim) ETF Bullet Shares 2022 Corp Bond	A	Dividend	K	T	Buy (add'l)	02/21/18	J		
44.					Buy (add'l)	07/23/18	J		
45. - Invesco (formerly Guggenheim) ETF Bullet Shares 2023 Corp Bond	A	Dividend	K	T	Buy (add'l)	02/21/18	J		
46.					Buy (add'l)	07/23/18	J		
47. - Invesco (formerly Guggenheim) ETF Bullet Shares 2024 Corp. Bond	A	Dividend	K	T	Buy	01/18/18	K		
48.					Buy (add'l)	02/21/18	J		
49.					Buy (add'l)	07/23/18	J		
50. - iShares 3-7 Year Treasury Bond ETF	B	Dividend	L	T	Buy (add'l)	06/11/18	J		
51. - iShares Core S&P ETF Midcap	A	Dividend	L	T	Sold (part)	07/23/18	J	B	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. -PIMCO Income Fund Institutional Class	C	Dividend	L	T	Buy (add'l)	07/23/18	J		
53. -Vanguard FTSE All World EX US ETF (formerly Intl. Equity Index)	A	Dividend	L	T	Buy (add'l)	07/23/18	J		
54.					Buy (add'l)	12/10/18	J		
55. - Vanguard REIT ETF	B	Dividend	L	T	Buy (add'l)	07/23/18	J		
56. - Vanguard Total Bond Fund Market ETF	B	Dividend	L	T	Buy (add'l)	06/11/18	J		
57.					Buy (add'l)	07/23/18	J		
58. - T. Rowe Price Emerging Markets Fund	B	Dividend			Sold	10/31/18	K	A	
59. IRA #2 (H)									
60. -Schwab Adv. Cash Reserve	A	Dividend	J	T	Sold (part)	01/02/18	J		
61.					Sold (part)	01/05/18	J		
62.					Buy (add'l)	02/02/18	J		
63.					Sold (part)	02/13/18	J		
64.					Sold (part)	04/04/18	J		
65.					Sold (part)	04/04/18	J		
66. - Accenture PLC Class A	A	Dividend	J	T	Sold (part)	02/16/18	J	B	
67. - Auto Data Processing (common)	A	Dividend	J	T	Buy	08/14/18	J		
68. - Amgen Inc. (common)	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. - Canadian National Railways Co. (common)	A	Dividend	J	T					
70. - Cummins Inc.	A	Dividend			Sold	08/14/18	J	A	
71. - CVS Health Corp. (common)	A	Dividend			Sold	02/09/18	J	A	
72. - Estee Lauder Co. Inc. (Class A)	A	Dividend	J	T					
73. - Factset Research, Inc. (common)	A	Dividend	K	T	Sold (part)	04/02/18	J	B	
74. - FedEx Corp. (common)	A	Dividend	J	T					
75. - Hormel (common)	A	Dividend	K	T					
76. - KeyCorp, Inc. (common)	A	Dividend	J	T	Buy	01/30/18	J		
77. - Lowes Companies, Inc. (common)	A	Dividend	J	T	Buy	02/09/18	J		
78.					Buy (add'l)	05/18/18	J		
79. - Magellan Midstream Partners (common)	A	Dividend			Sold	04/02/18	J	C	
80. - Medtronic, Inc. (common)	A	Dividend	K	T					
81. - Nike, Inc. (common)	A	Dividend	J	T					
82. - Novo Nordisk as ADR		None			Sold	02/16/18	J	D	
83. - Toronto Dominion Bank	A	Dividend			Sold	01/30/18	K	C	
84. - Sherman Williams Co. (common)	A	Dividend	J	T	Sold (part)	05/18/18	J	B	
85. - Starbucks Corp. (common)	A	Dividend	J	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. - Texas Instruments (common)	A	Dividend	J	T	Buy	02/16/18	J		
87. - Toro Company (common)	A	Dividend	J	T	Buy (add'l)	05/18/18	J		
88. - TJX Companies (common)	A	Dividend	K	T					
89. - United Health Group (common)	A	Dividend	K	T					
90. - Zoetis, Inc. (Class A)	A	Dividend	J	T	Buy	04/02/18	J		
91. - Doubleline Emerging Markets Income Fund	A	Dividend	J	T	Buy	10/31/18	J		
92. - Doubleline Total Return Bond Fund C1	A	Dividend	K	T					
93. - Guggenheim ETF Bullet Shares 2018 Corp Bond ETF	A	Dividend			Sold	01/18/18	J	A	
94. - Invesco (formerly Guggenheim) ETF Bullet Shares 2019 Corp Bond	A	Dividend	J	T					
95. - Invesco (formerly Guggenheim) ETF Bullet Shares 2020 Corp Bond	A	Dividend	J	T					
96. - Invesco (formerly Guggenheim) ETF Bullet Shares 2021 Corp Bond	A	Dividend	J	T					
97. - Invesco (formerly Guggenheim) ETF Bullet Shares 2022 Corp Bond	A	Dividend	J	T					
98. - Invesco (formerly Guggenheim) ETF Bullet Shares 2023 Corp Bond	A	Dividend	J	T					
99. - Invesco (formerly Guggenheim) ETF Bullet Shares 2024 Corp Bond	A	Dividend	J	T	Buy	01/18/18	J		
100. -iShares Core S&P ETF Midcap	A	Dividend	K	T					
101. -iShares 3-7 Year Treasury Bond ETF	A	Dividend	K	T					
102. - PIMCO Income Fund Institutional Class	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103. - Vanguard Total Bond Fund Market ETF	A	Dividend	K	T					
104. - Vanguard FTSE All World EX US ETF (formerly Intl Equity Index)	A	Dividend	K	T					
105. - Vanguard REIT ETF	B	Dividend	K	T					
106. - T. Rowe Price - Emerging Markets Fund	A	Dividend			Sold	10/31/18	J	A	
107. U.S Savings Bonds Type E	A	Interest	J	T					
108. Wells Fargo Bank Accounts	A	Interest	K	T					
109. Fidelity Value Fund	A	Dividend	J	T					
110. Fidelity Cash Reserves	A	Interest	K	T					
111. Vanguard 500 Index Admiral Class IRA # 3(H)	D	Dividend	N	T					
112. Fidelity Cal. Muni Market	B	Dividend	M	T					
113. Fidelity Government Money Market (X)	A	Dividend	J	T					
114. Fidelity Puritan Mutual Fund	F	Dividend	N	T					
115. Fidelity Insured Deposit	C	Interest	O	T					
116. Schwab Adv. Cash Reserve	A	Dividend	J	T					
117. Vanguard FTSE All World EX US ETF (formerly Intl Equity Index)	A	Dividend	J	T	Sold (part)	07/25/18	J	A	
118. iShares Core S&P Midcap ETF	A	Dividend	J	T	Buy	07/25/18	J		
119. Novack Family LLC		None	J	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Novack, Charles D.

Date of Report

05/13/2019

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

Investments and Trusts: Previous financial disclosure reports had referred to a fund called "Vanguard Intl Equity Index Fund." This fund should have been called "Vanguard FTSE All World EX US ETF," and that fund name is now being used. The confusion in the 2015, 2016, and 2017 reports was due to the use of these two names in different documents that the reporter consulted when preparing his financial disclosure reports. After further investigation, the fund name is Vanguard FTSE All World EX US ETF.

Investment and Trusts: IRA #3 is now invested in Vanguard 500 Index Admiral Class. This account was formerly invested in the Vanguard 500 Index Fund.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Novack, Charles D.

Date of Report

05/13/2019

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/ Charles D. Novack**

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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Washington, D.C. 20544