

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) Rice, David E.	2. Court or Organization U.S. Bankruptcy Court, District of MD	3. Date of Report 05/06/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 101 W. Lombard Street Chambers 9636 Baltimore, MD 21201		
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.	President	Egenton Home, Inc.
2.	Trustee	Trust #1
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Rice, David E.

Date of Report

05/06/2019

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.		
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. National Conference of Bankruptcy Judges	10/29-31/2018	San Antonio, TX	Seminar	Hotel
2. American Bankruptcy Institute	8/2-8/3/2018	Hershey, PA	Seminar	Hotel
3. Bankruptcy Bar Association for the District of Maryland	5/4-5/5/2018	Annapolis, MD	Seminar	Meals, hotel
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Rice, David E.

Date of Report

05/06/2019

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.	U.S. Dept. of Education	Student loans	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Rice, David E.

Date of Report

05/06/2019

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. PNC Bank Accounts	B	Interest	N	T					
2. Pentagon FCU Account	A	Interest	J	T					
3. APG FCU Account	A	Interest	J	T					
4. USAA Federal Accounts	A	Interest	K	T					
5. New Perspective Mutual Fund	C	Dividend	L	T					
6. McCormick Common (MKC)	B	Dividend	L	T					
7. PNC Bank IRA's CD's	A	Interest	J	T					
8. TD Ameritrade Money Market Account	A	Interest	J	T					
9. Facebook, Inc. (FB)		None	J	T					
10. Groupon, Inc. (GRPN)		None	J	T					
11. Netflix, Inc. (NFLX)		None	J	T					
12. Zynga, Inc. (ZNGA)		None	J	T					
13. Square, Inc. (SQ)		None	J	T	Sold (part)	08/29/18	J	D	
14. Snap, Inc. (SNAP)		None	J	T					
15. Blue Apron Holdings, Inc. (APRN)		None	J	T	Buy (add'l)	12/21/18	J		
16. Brokerage Account #1 (H)									
17. Invesco S&P 500 Low Volatility ETF (SPVL)	A	Dividend	J	T	Buy	12/21/18	J		

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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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18. iShares S&P 500 Growth ETF (IVW)	A	Dividend	K	T	Buy	12/21/18	K		
19. iShares S&P 500 Value ETF (IVE)	A	Dividend	K	T	Buy	12/21/18	K		
20. Oppenheimer S&P 500 Revenue ETF (RWL)	A	Dividend	K	T	Buy	12/21/18	K		
21. Schwab U.S. Large-Cap Growth ETF (SCHG)	A	Dividend	J	T	Buy	12/21/18	J		
22. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend	K	T	Buy	12/21/18	K		
23. Vanguard S&P Mid-Cap 400 Growth ETF (IVOG)	A	Dividend	J	T	Buy	12/21/18	J		
24. Vanguard S&P Mid-Cap 400 Value ETF (IVOV)	A	Dividend	J	T	Buy	12/21/18	J		
25. Wisdomtree Managed Futures Strategy ETF (WTMF)	A	Dividend	K	T	Buy	12/21/18	K		
26. American Century Emerging Markets Fund (AMKIX)	A	Dividend	K	T	Buy	12/21/18	K		
27. Baron Small Cap Fund (BSFIX)	A	Dividend	J	T	Buy	12/21/18	J		
28. Goldman Sachs Absolute Return Tracker Fund (GJRTX)	A	Dividend	K	T	Buy	12/21/18	K		
29. Guggenheim Macro Opportunities Fund (GIOIX)	A	Dividend	J	T	Buy	12/21/18	J		
30. Janus Henderson International Opportunities Fund (HFOIX)	A	Dividend	K	T	Buy	12/21/18	K		
31. Lord Abbett Total Return Fund (LTRFX)	B	Dividend	K	T	Buy	12/21/18	K		
32. Neuberger Berman Core Bond Fund (NCRLX)	B	Dividend	K	T	Buy	12/21/18	K		
33. PGIM Absolute Return Bond Fund (PADZX)	A	Dividend	J	T	Buy	12/21/18	J		
34. Royce Opportunity Fund (RYPNX)	A	Dividend	J	T	Buy	12/21/18	J		

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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. Pimco Short Term Bond Fund (PTSPX)	A	Dividend			Sold	12/21/18	J	A	
36. Matthews Asian Japan Inv. Fund (MJFOX)	A	Dividend			Sold	12/21/18	J	A	
37. EV Income Fund of Boston A (EVIBX)	A	Dividend			Sold	12/21/18	J	A	
38. Ivy Mid Cap Growth A Fund (WMGAX)	A	Dividend			Sold	12/21/18	K	B	
39. Morgan Stanley Bank account	A	Interest	J	T					
40. IBM Common (IBM)	A	Dividend	J	T					
41. Invesco Van Kampen Comstock Fund (ACSTX)	B	Dividend			Sold	12/21/18	L	D	
42. Cambiar Small Cap Fund (CAMSX)	A	Dividend			Sold	12/21/18	J	A	
43. Alliance Bernstein Small Cap Growth Fund (QUAYX)	A	Dividend			Sold	12/21/18	J	A	
44. Columbia Select Large Cap Growth Fund (UMLGX)	A	Dividend			Sold	12/21/18	K	A	
45. Nuveen Tradewinds International Value Fund (NAIGX)	B	Dividend			Sold	12/21/18	K	A	
46. Pimco Total Return Fund (PTTDX)	A	Dividend			Sold	12/21/18	K	A	
47. American EuroPacific Growth Fund (AEPFX)	A	Dividend	J	T	Sold (part)	12/21/18	K	B	
48. Blackrock Low Dur Bond Fund Inv A (BLDAX)	A	Dividend			Sold	12/21/18	K	A	
49. Hartford Schroder Emerging Markets Equity Fund (SEMNX)	A	Dividend			Sold	12/21/18	K	B	
50. Blackrock Inflation Prot. Bond Fund (BPRIX)	A	Dividend			Sold	12/21/18	K	A	
51. iShares S&P Mid-Cap 400 Value Fund (IJJ)	A	Dividend			Sold	12/21/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Rice, David E.

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52. IRA #1 (H)									
53. MSLiquidAssetFund (now MS Private Bank, N.A.)	A	Interest	J	T					
54. Godman Sachs Absolute Return Fund (GJRTX)	A	Dividend	K	T					
55. AMG Timesquare International Small Cap Fund (TQITX)	A	Dividend	K	T	Buy	08/06/18	K		
56. American Centruy Emerging Mkts Fund (AMKIX)	A	Dividend	K	T					
57. Janus Henderson Int'l Opportunity Fund (HFOIX)	A	Dividend	K	T	Sold (part)	08/06/18	J	A	
58. Vanguard FTSE Developed Mkts Fund (VEA)	A	Dividend	K	T	Sold (part)	08/06/18	J	A	
59. iShares S&P 500 Value ETF (IVE)	A	Dividend	K	T					
60. iShares S&P 500 Growth ETF (IVW)	A	Dividend	K	T					
61. Baron Small Cap Inst Fund (BSFIX)	A	Dividend	K	T	Sold (part)	08/06/18	J	A	
62. Touchstone Sands Capital Select Growth Fund (CFSIX)	A	Dividend	K	T					
63. Royce Opportunity Fund (RYPNX)	A	Dividend	J	T	Sold (part)	08/06/18	J	A	
64. Oppenheimer Large Cap Revenue ETF (RWL)	A	Dividend	K	T					
65. Prudential Jennison Mid-Cap Growth Fund (PEGZX) (now PGIM Jennison	A	Dividend	J	T					
66. Mid-CapGrowth Fund)									
67. iShares S&P Mid-Cap 400 Value ETF (IJJ)	A	Dividend	K	T					
68. Wisdomtree Managed Futures Strategy ETF (WDTI)	B	Dividend	K	T	Buy (add'l)	11/02/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. Abbey Capital Futures Strategy Fund (ABYIX)	A	Dividend			Sold	11/02/18	J	A	
70. IRA #2 (H)									
71. Morgan Stanley Bank deposit account	A	Interest	J	T					
72. Columbia Strategic Income Fund (LSIZX)	B	Dividend	K	T	Buy	03/26/18	K		
73. Eaton Vance Tax Managed Income Fund (ETB)	C	Dividend	K	T					
74. iShares Cohen & Steers REIT Fund (ICF)	B	Dividend	K	T					
75. iShares IBOXX Inv. Grade Corp. Bond Fund (LQD)	B	Dividend	K	T					
76. Powershares S&P 500 High Div Portfolio (SPHD) (now Invesco)	B	Dividend	K	T					
77. S&P 500 High Dividend Low Volatility Fund)									
78. SPDR BBG Barclays Convertible Sec. Fund (CWB)	C	Dividend	K	T					
79. SPDR S&P Dividend Fund (SDY)	B	Dividend	K	T					
80. Voya Global Advantage Fund (IGA)	C	Dividend	K	T					
81. AB High Income Fund (AGDYX)	B	Dividend	K	T	Sold (part)	07/16/18	J	A	
82. Goldman Sachs Strategic Income Fund (GSZIX)	A	Dividend			Sold	03/26/18	K	A	
83. Janus Henderson Global Equity Income Fund (HFQIX)	C	Dividend	K	T					
84. Principal Preferred Securities Fund (PPSIX)	B	Dividend	K	T					
85. Prudential Absolute Return Bond Fund (PADZX) (now PGIM Absolute	B	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. Return Bond Fund)									
87. Trust #1 (H)									
88. Comerica Bank deposit account		None	J	T					
89. MBIA Bond	B	Interest	K	T					
90. Enbridge, Inc. (ENB)	A	Dividend	J	T					
91. Allianzgi Income Growth Fund (AZNCX)	A	Dividend	K	T					
92. Invesco High Yield Municipal Fund (ACTDX)	A	Dividend	J	T					
93. PIMCO Income Fund (PONPX)	A	Dividend	J	T					
94. First Trust MLP Fund (FEI)	A	Dividend	J	T	Buy (add'l)	04/25/18	J		
95. Janus Henderson Global Equity Fund (HFQIX)	A	Dividend	J	T					
96. Nexpoint Credit Strategies Fund (NHF)	A	Dividend	J	T					
97. Guggenheim Floating Rate Fund (GIFIX)	A	Dividend	J	T					
98. Lord Abbett Floating Rate Fund (LFRFX)	A	Dividend	J	T					
99. Pioneer Multi-Asset Income Fund (PMFYX)	A	Dividend	J	T	Buy	04/25/18	J		
100. Nuveen Real Asset Income Fund	A	Dividend			Sold	04/25/18	J		
101. Mineral Rights, Dimmit County, TX		None	K	W					
102. Mineral Rights, Canadian County, OK	E	Royalty	K	W					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103. Mineral Rights, Franklin County, AR		None	K	W					
104. Mineral Rights, Lincoln County, OK		None	K	W					
105. Mineral Rights, Pontotoc County, OK	A	Royalty	K	W					
106. PNC Bank (CD)	A	Interest	L	T					
107. M&T Bank Accounts	A	Interest	M	T					
108. Bank of America Accounts	A	Interest	L	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

Rice, David E.

Date of Report

05/06/2019

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Rice, David E.

Date of Report

05/06/2019

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/ **David E. Rice**

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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One Columbus Circle, N.E.
Washington, D.C. 20544