

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) LUNDIN, KEITH M.	2. Court or Organization USBC (M.D. TENN.)	3. Date of Report 04/02/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 701 BROADWAY CUSTOMS HOUSE, 2D FLOOR NASHVILLE, TN 37203		
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.	TRUSTEE	FAMILY TRUST
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.	CONTINUE	CALNORBAN ASSOC. (AGMT EDIT BK NEWSLETTER) (Now Thomson Reuters)
2.	CONTINUE	BANKRUPTCY PRESS, INC. (BOOK CONTRACT)
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	CALNORBAN ASSOCIATES (ROYALTIES) (Now Thomson Reuters)	\$12,100.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	NATIONAL ASSOCIATION OF CHAPTER 13 TRUSTEES	1/23/2013 TO 1/27/2013	WAILEA, MAUI, HI	SPEAKER AT CLE MEETING	TRAVEL, FOOD & LODGING
2.	NORTHERN CALIFORNIA BANKRUPTCY CONF.	1/30/2013 TO 2/3/2013	SACRAMENTO, CA	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
3.	NORTON BANKRUPTCY INSTITUTES	3/20/2013 TO 3/24/2013	LAS VEGAS, NV	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
4.	ALAMEDA COUNTY BAR ASS'N	4/5/2013 TO 4/9/2013	OAKLAND, CA	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

5.	NATIONAL ASS'N OF CONSUMER BANKR. ATTYS	4/25/2013 TO 4/28/2013	SAN DIEGO, CA	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
6.	AMERICAN BANKRUPTCY INSTITUTE	6/13/2013 TO 6/16/2013	TRAVERSE CITY, MI	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
7.	NORTON BANKRUPTCY INSTITUTES	6/28/2013 TO 7/2/2013	JACKSON HOLE, WY	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
8.	PENNSYLVANIA BAR INSTITUTE	7/11/2013 TO 7/13/2013	NATIONAL HARBOR, MD	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
9.	NATIONAL ASS'N OF CHAPTER 13 TRUSTEES, ADVANCED CONSUMER BANKR. INSTITUE	7/31/2013 TO 8/2/2013	NEW YORK, NY	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
10.	NATIONAL ASS'N OF CHAPTER 13 TRUSTEES	8/3/2013 TO 8/7/2013	NEW YORK, NY	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
11.	NATIONAL CONF. OF BANKRUPTCY JUDGES	10/30/2013 TO 11/3/2013	NEW ORLEANS, LA	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
12.	ADVANCED CONSUMER BANKR. INSTITUTE	11/8/2013 TO 11/13/2013	AUSTIN, TX	SPEAKER AT CLE SEMINAR	TRAVEL, FOOD & LODGING
13.	ALLEGHENY COUNTY BAR ASS'N	12/4/2013 TO 12/8/2013	PITTSBURGH, PA	SPEAKER AT CLE SEMINAR	TRAVEL & FOOD

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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. General M.M. CIB	A	Dividend	L	T					
2. General M.M. CIB (trust asset)	A	Dividend	J	T					
3. FORM (common stock)		None			Sold	04/29/13	J	A	
4. GSH (common stock)	A	Dividend			Sold	08/09/13	J	A	
5. TVIN (common stock)		None			Closed				
6. IBOC (common stock)	A	Dividend			Sold	04/29/13	J	A	
7. TCAP (common stock)	A	Dividend			Sold	08/09/13	J	B	
8. CRWN (common stock)		None			Sold	04/29/13	J	A	
9. IGT (common stock)	A	Dividend			Sold	08/09/13	J	A	
10. JNJ (common stock)	A	Dividend	J	T					
11. LPSN (common stock)		None			Sold	08/09/13	J	A	
12. NSR (common stock)		None			Sold	08/09/13	J	A	
13. RRC (common stock)	A	Dividend			Sold	08/09/13	J	C	
14. UPL (common stock)		None			Sold	08/09/13	J	A	
15. ARO (common stock)		None			Sold	03/26/13	J	A	
16. BPI (common stock)		None			Sold	08/09/13	J	C	
17. ENOC (common stock)		None			Sold	08/09/13	J	B	

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 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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. F (common stock)	A	Dividend			Sold	04/29/13	J	A	
19. INFN (common stock)		None			Sold	08/09/13	J	B	
20. IO (common stock)		None			Sold	08/09/13	J	A	
21. JBT (common stock)	A	Dividend			Sold	08/09/13	J	B	
22. PDCE (common stock) (formerly PETD)		None			Sold	08/09/13	J	C	
23. ROIC (common stock)	A	Dividend			Sold	08/09/13	J	A	
24. SVU (common stock)	A	Dividend			Sold	04/29/13	J	A	
25. WY (common stock)	A	Dividend			Sold	08/09/13	J	B	
26. YONG (common stock)		None			Sold	08/09/13	J	A	
27. BP (common stock)	A	Dividend			Sold	04/29/13	J	A	
28. GTI (common stock)		None			Sold	09/19/13	J	A	
29. IAG (common stock)	A	Dividend			Sold	08/09/13	J	A	
30. MA (common stock)	A	Dividend			Sold	04/29/13	J	A	
31. IRDM (common stock)		None			Buy	05/24/13	J		
32.					Sold	12/05/13	J	A	
33. SZYM (common stock)		None			Buy	05/24/13	J		
34.					Sold	12/05/13	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 7 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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. DDD (common stock)		None	K	T	Buy	09/18/13	K		
36. AAPL (common stock)	A	Dividend	K	T	Buy	03/13/13	K		
37. ARCO (common stock)	A	Dividend	J	T	Buy	09/27/13	J		
38. ECOL (common stock)	A	Dividend	K	T	Buy	09/20/13	J		
39.									

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 8 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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

In Part VII Line5 TVIN; the company was dissolved sometime during 2013.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

LUNDIN, KEITH M.

Date of Report

04/02/2014

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/ **KEITH M. LUNDIN**

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