

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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) MONTALI, DENNIS	2. Court or Organization UNITED STATES BANKRUPTCY COURT	3. Date of Report 04/21/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 450 Golden Gate Avenue Mail Box 36099 San Francisco, CA 947054		
IMPORTANT NOTES: <i>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>		

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 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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.				

Name of Person Reporting	Date of Report
MONTALI, DENNIS	04/21/2020

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 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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. Real estate - Alameda Cty (\$340,000;fractional int.;acq 2/01		None	N	W					
2. Acct. Union Bank of California, ■		None	J	T					
3. Acct. Wells Fargo Bank, ■	A	Interest	J	T					
4. Alphabet		None	M	T	Buy (add'l)	05/09/19	L		Also 7/15
5. AMG Managers Total Return Fund	B	Dividend	M	T					
6. American Century Global Fund	A	Dividend	J	T					
7. American Century Gvt Inc	B	Int./Div.	M	T					
8. American Water Works	C	Int./Div.	M	T	Sold (part)	02/22/19	L		Also 7/16
9. Apple	B	Int./Div.	N	T					
10. AT&T	A	Dividend	K	T	Buy	07/15/19	K		
11. Audubon Cellars, Inc. common					Closed				
12. Automatic Data Processing common	D	Dividend	N	T					
13. BNY Active Midcap Fund A	A	Dividend	M	T					Name change from Dreyfus
14. BNY Muni Bond Fund	A	Dividend	K	T					Name change from Dreyfus
15. BNY Cal Tax Ex Fund	A	Dividend	M	T					Name change from Dreyfus
16. BNY Strategic Fund	A	Dividend	L	T					Was part of Dreyfus
17. Cardinal Health common	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

18. Cognizant Tech. Solutions	A	Dividend	M	T					
19. Colgate Palmolive & Co common	C	Dividend	M	T					
20. Corteva					Sold	06/18/19	J		Spinoff from DowDupont
21. Dow	A	Distribution	J	T	Spinoff (from line 23)	04/02/19	J		Parial sale 4/3 & 5/9
22. Duke Energy	A	Dividend			Sold	02/22/19	L		
23. Du Pont	A	Dividend	K	T	Sold (part)	06/06/19	J		Name change from Dow DuPon
24. ETFMG Prime Cyber	A	Dividend	M	T					
25. Exxon Mobil Corporation common	E	Dividend	N	T					
26. Federated High Yield Trust	A	Dividend	J	T					
27. Garrett Motion, Inc					Sold	01/23/19	J		
28. Genuine Parts common	D	Dividend	M	T					
29. Gilead Sciences Inc	B	Dividend	L	T	Buy	05/09/19	J		
30. Home Depot	A	Dividend	J	T					
31. Honeywell Int'l common	C	Dividend	M	T					
32. Intel	B	Dividend	M	T					
33. Ishares MSCI Japan	A	Dividend	K	T					
34. Jacobs Engineering	A	Dividend	K	T	Buy	05/09/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Johnson & Johnson	C	Dividend			Sold	07/17/19	M		
36. Kimberly Clark	D	Dividend	M	T					
37. Matthews Japan Fund Inc fka Japan Fund	A	Dividend	K	T					
38. McDonalds Corp common	D	Dividend	O	T					
39. Mid American Apt. Common	C	Dividend	L	T	Sold (part)	07/16/19	K		
40. Nestle SA	C	Dividend	M	T					
41. Novo-Nordisk	D	Dividend	N	T					
42. Pentair	B	Dividend	L	T					
43. Pepisco common	C	Dividend	M	T					
44. Pimco FDS Pac Invt Mgmt	B	Interest	J	T					
45. Proctor & Gamble Co. common	C	Dividend	M	T					
46. Raytheon	A	Dividend	K	T	Buy	05/09/19	K		
47. Resideo Tech	A	Dividend	J	T	Spinoff (from line 31)	07/09/19	J		Also sold part 7/9
48. Schlumberger	C	Dividend	K	T					
49. Schwab Value Advantage	A	Interest	N	T					
50. Schwab Corp common	B	Dividend	M	T					
51. Schwab 1000 Fund	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 7 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

52. Select Sector - Materials	B	Dividend	M	T					
53. SPDR Energt Select	A	Dividend	J	T					
54. S&P 500 Depository Receipts Unit)	B	Dividend	M	T					
55. SPDR Utilities Select	B	Dividend	L	T					
56. Stryker Corp	C	Dividend	N	T					
57. Sysco common	B	Dividend	L	T					
58. T. Rowe Price Int'l Stk Fund	B	Dividend	M	T					
59. T. Rowe Price Equity Fund	B	Dividend	L	T					
60. T. Rowe Price Growth	A	Dividend	M	T					
61. T. Rowe Price - New Horizon	A	Dividend	L	T					
62. Templeton Developing Mkt	A	Dividend	K	T					
63. Templeton Global Inc. Fund	A	Dividend	K	T					
64. Templeton Global Bond	B	Dividend	K	T					
65. 3M	D	Dividend	M	T					
66. United Health Group	A	Dividend	M	T	Buy	01/24/19	M		Also 7/15
67. United Parcel Service	C	Dividend	M	T					
68. USAA Short term fund	B	Interest	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. USAA Long term fund	C	Interest	L	T					
70. USX-US Steel Corp	A	Dividend			Sold	07/09/19	L		
71. United Technologies	C	Dividend	M	T					
72. Vanguard Intl Growth Fund	B	Dividend	M	T					
73. Vanguard 500 Fund	D	Dividend	O	T					
74. Vanguard Wellesley Inc. Fund	A	Interest	K	T					
75. Vanguard Intl. Equity Index (Eur. stk)	C	Dividend	L	T					
76. Vanguard Wellington Fund	B	Dividend	K	T					
77. Vanguard Fxd Inc. GNMA	C	Interest	L	T					
78. Vanguard F-I Short Term	B	Interest	M	T					
79. Verizon	A	Dividend	K	T					
80. Walt Disney Hldg common	C	Dividend	M	T					
81. Wells Fargo Adv ST	A	Dividend	L	T					
82. WEC Energy	C	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 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 9 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

MONTALI, DENNIS

Date of Report

04/21/2020

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/ DENNIS MONTALI

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