

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) Rice, David E.	2. Court or Organization U.S. Bankruptcy Court, District of MD	3. Date of Report 05/14/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.	

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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.		
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 Conference of Bankruptcy Judges	10/30-11/1/2019	Washington, D.C.	Seminar	Hotel
2.	Turnaround Management Association	6/5-6/6/2019	Atlantic City, NJ	Seminar	Hotel
3.	Bankruptcy Bar Association for the District of Maryland	5/3/2019	Annapolis, MD	Seminar	Meals, hotel
4.					
5.					

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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.		

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Name of Person Reporting

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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)
1. PNC Bank Accounts	C	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	A	Dividend	L	T					
6. McCormick Common (MKC)	B	Dividend	M	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	K	T	Sold (part)	08/20/19	J	C	
10. Groupon, Inc. (GRPN)		None	J	T	Sold (part)	08/20/19	J	A	
11. Netflix, Inc. (NFLX)		None	J	T	Sold (part)	08/20/19	J	B	
12. Zynga, Inc. (ZNGA)		None	J	T	Sold (part)	08/20/19	J	A	
13. Square, Inc. (SQ)		None	J	T	Sold (part)	08/20/19	J	C	
14. Snap, Inc. (SNAP)		None	J	T	Sold (part)	08/20/19	J	A	
15. Blue Apron Holdings, Inc. (APRN)		None	J	T	Sold (part)	08/20/19	J	A	
16. SPDR Energy Select Sector Fund (XLE)	A	Dividend	J	T	Buy	08/20/19	J		
17. United States Oil Fund (DSO)		None	J	T	Buy	08/20/19	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	

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18. Brokerage Account #1 (H)									
19. Invesco S&P 500 Low Volatility ETF (SPVL)	A	Dividend	J	T	Sold (part)	05/21/19	J	A	
20. iShares S&P 500 Growth ETF (IVW)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
21. iShares S&P 500 Value ETF (IVE)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
22. Oppenheimer S&P 500 Revenue ETF (now Invesco S&P 500 Revenue ETF)(RWL)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
23. Schwab U.S. Large-Cap Growth ETF (SCHG)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
24. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
25. Vanguard S&P Mid-Cap 400 Growth ETF (IVOG)	A	Dividend	K	T	Sold (part)	04/05/19	J	A	
26.					Sold (part)	05/21/19	J	A	
27. Vanguard S&P Mid-Cap 400 Value ETF (IVOV)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
28. Wisdomtree Managed Futures Strategy ETF (WTMF)	A	Dividend			Sold	02/05/19	K	A	
29. American Century Emerging Markets Fund (AMKIX)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
30. Baron Small Cap Fund (BSFIX)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
31. Goldman Sachs Absolute Return Tracker Fund (GJRTX)	A	Dividend	K	T	Buy (add'l)	02/05/19	K		
32.					Sold (part)	05/21/19	J	A	
33. Guggenheim Macro Opportunities Fund (GIOIX)	A	Dividend	J	T	Sold (part)	05/21/19	J	A	
34. Janus Henderson International Opportunities Fund (HFOIX)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	

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35. Lord Abbett Total Return Fund (LTRFX)	B	Dividend	K	T	Sold (part)	05/21/19	J	A	
36. Neuberger Berman Core Bond Fund (NCRLX)	B	Dividend	K	T	Sold (part)	05/21/19	J	A	
37. PGIM Absolute Return Bond Fund (PADZX)	A	Dividend	J	T	Sold (part)	05/21/19	J	A	
38. Royce Opportunity Fund (RYPNX)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
39. Morgan Stanley Bank account	A	Interest	K	T					
40. IBM Common (IBM)	A	Dividend	J	T	Sold (part)	05/21/19	J	A	
41. American EuroPacific Growth Fund (AEPFX)	A	Dividend			Sold	04/25/19	J	A	
42. IRA #1 (H)									
43. MSLiquidAssetFund (now MS Private Bank, N.A.)	A	Interest	J	T					
44. Godman Sachs Absolute Return Fund (GJRTX)	A	Dividend	L	T	Buy (add'l)	02/05/19	K		
45.					Sold (part)	05/21/19	K	A	
46. AMG Timesquare International Small Cap Fund (TQTIX)	A	Dividend			Sold	05/21/19	K	A	
47. American Centruy Emerging Mkts Fund (AMKIX)	A	Dividend	K	T	Sold (part)	05/21/19	K	A	
48. Janus Henderson Int'l Opportunity Fund (HFOIX)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
49. Vanguard FTSE Developed Mkts Fund (VEA)	A	Dividend			Sold	03/06/19	K	A	
50. iShares S&P 500 Value ETF (IVE)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
51. iShares S&P 500 Growth ETF (IVW)	A	Dividend			Sold (part)	05/21/19	K	B	

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52.					Sold	05/29/19	K	D	
53. Baron Small Cap Inst Fund (BSFIX)	A	Dividend			Sold	04/01/19	K	A	
54. Touchstone Sands Capital Select Growth Fund (CFSIX)	A	Dividend	J	T	Sold (part)	05/21/19	K	A	
55. Royce Opportunity Fund (RYPNX)	A	Dividend	J	T	Buy (add'l)	05/21/19	J		
56. Oppenheimer Large Cap Revenue ETF(now Invesco S&P 500 Revenue ETF(RWL))	A	Dividend	K	T	Sold (part)	05/21/19	K	A	
57. PGIM Jennison Mid-CapGrowth Fund (PEGZX)	A	Dividend	J	T	Sold (part)	05/21/19	J	A	
58. iShares S&P Mid-Cap 400 Value ETF (IJJ)	A	Dividend	K	T	Sold (part)	05/21/19	J	A	
59. Wisdomtree Managed Futures Strategy ETF (WDTI)	B	Dividend			Sold	02/05/19	K	A	
60. Hartford Multifactor Developed Markets ETF (RODM)	A	Dividend	K	T	Buy	03/06/19	K		
61.					Sold (part)	05/21/19	J	A	
62. Federated Kaufmann Small Cap Fund (FKAIX)	A	Dividend	K	T	Buy	04/01/19	K		
63.					Sold (part)	05/21/19	J	A	
64. Lord Abbett Total Return Fund (LTRFX)	B	Dividend	L	T	Buy	05/21/19	L		
65. Neuberger Berman Core Bond Fund (NCRLX)	B	Dividend	L	T	Buy	05/21/19	L		
66. Invesco S&P 500 Low Volatility Fund (SPVL)	A	Dividend	J	T	Buy	05/21/19	J		
67. PGIM Absolute Return Bond Fund (PADZX)	A	Dividend	J	T	Buy	05/21/19	J		
68. Guggenheim Marco Opportunities Fund (GIOIX)	A	Dividend	J	T	Buy	05/21/19	J		

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69. AB Concentrated Growth Fund (WPSGX)	A	Dividend	K	T	Buy	05/21/19	K		
70. IRA #2 (H)									
71. Morgan Stanley Bank deposit account	A	Interest	J	T					
72. Columbia Strategic Income Fund (LSIZX)	B	Dividend	K	T	Sold (part)	10/08/19	J	A	
73. Eaton Vance Tax Managed Income Fund (ETB)	C	Dividend	K	T	Sold (part)	10/08/19	J	A	
74. iShares Cohen & Steers REIT Fund (ICF)	B	Dividend	K	T	Sold (part)	10/08/19	J	A	
75. iShares IBOXX Inv. Grade Corp. Bond Fund (LQD)	A	Dividend			Sold	04/05/19	K	A	
76. Invesco S&P 500 High Dividend Low Volatility Fund (SPHD)	B	Dividend	K	T	Sold (part)	10/08/19	J	A	
77. SPDR BBG Barclays Convertible Sec. Fund (CWB)	C	Dividend	K	T	Sold (part)	10/08/19	J	A	
78. SPDR S&P Dividend Fund (SDY)	B	Dividend	K	T	Sold (part)	10/08/19	J	A	
79. Voya Global Advantage Fund (IGA)	C	Dividend	K	T	Sold (part)	10/08/19	J	A	
80. AB High Income Fund (AGDYX)	B	Dividend	K	T	Sold (part)	04/05/19	J	A	
81.					Sold (part)	10/08/19	J	A	
82. Janus Henderson Global Equity Income Fund (HFQIX)	C	Dividend	K	T	Sold (part)	07/16/19	J	A	
83.					Sold (part)	10/08/19	J	A	
84. Principal Preferred Securities Fund (PPSIX)	B	Dividend	K	T	Sold (part)	10/08/19	J	A	
85. PGIM Absolute Return Bond Fund (PADZX)	B	Dividend	K	T	Sold (part)	10/08/19	J	A	

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86. Guggenheim Macro Opportunities Fund (GIOIX)	B	Dividend	K	T	Buy	04/05/19	K		
87.					Sold (part)	10/08/19	J	A	
88. Trust #1 (H)									
89. Comerica Bank deposit account		None	J	T					
90. MBIA Bond	A	Interest	J	T	Sold (part)	08/29/19	J	A	
91. Enbridge, Inc. (ENB)	A	Dividend	J	T					
92. Allianzgi Income Growth Fund (AZNCX)	A	Dividend	K	T					
93. Invesco High Yield Municipal Fund (ACTDX)	A	Dividend	J	T	Buy (add'l)	09/06/19	J		
94. PIMCO Income Fund (PONPX)	A	Dividend	J	T					
95. First Trust MLP Fund (FEI)	A	Dividend	J	T					
96. Janus Henderson Global Equity Fund (HFQIX)	A	Dividend	J	T					
97. Nexpoint Credit Strategies Fund (NHF)	A	Dividend	J	T	Buy (add'l)	09/06/19	J		
98. Guggenheim Floating Rate Fund (GIFIX)	A	Dividend			Sold	04/18/19	J	A	
99. Lord Abbett Floating Rate Fund (LFRFX)	A	Dividend			Sold (part)	04/18/19	J	A	
100.					Sold	07/23/19	J	A	
101. Pioneer Multi-Asset Income Fund (PMFYX)	A	Dividend	J	T					
102. Highland Global Allocation Fund (HGLB)	A	Dividend	J	T	Buy	04/16/19	J		

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(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	
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3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)
103.					Buy (add'l)	07/19/19	J		
104.					Buy (add'l)	09/06/19	J		
105. Angel Oak Multi-Strategy Income Fund (ANGIX)	A	Dividend	J	T	Buy	04/16/19	J		
106.					Buy (add'l)	07/19/19	J		
107.					Buy (add'l)	09/06/19	J		
108. Columbia Strategic Income Fund (LSIZX)	A	Dividend	J	T	Buy	04/16/19	J		
109. Mineral Rights, Dimmit County, TX	D	Royalty	K	W					
110. Mineral Rights, Canadian County, OK		None	K	W					
111. Mineral Rights, Franklin County, AR		None	K	W					
112. Mineral Rights, Lincoln County, OK		None	K	W					
113. Mineral Rights, Pontotoc County, OK		None	K	W					
114. PNC Bank (CD)	A	Interest	L	T					
115. M&T Bank Accounts	A	Interest	M	T					
116. Bank of America Accounts	A	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Rice, David E.

Date of Report

05/14/2020

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Rice, David E.

Date of Report

05/14/2020

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/ **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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Washington, D.C. 20544