

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) Faris, Robert J.	2. Court or Organization Bankruptcy Court, D. Hawaii	3. Date of Report 05/04/2020
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 1132 Bishop St. Suite 250 Honolulu HI 96813		
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	Trust #1
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.	
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. 2019	William S. Richardson School of Law, Univ. of Hawaii at Manoa - salary for teaching law school course	\$678.66
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. 2019	[REDACTED] - salary
2. 2019	[REDACTED] - salary
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. Maui County Bar Association	9/20/19	Wailuku HI	CLE program for Maui County Bar Association.	Reimbursement for airfare
2.				
3.				
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.	US Dept. of Education	Direct student plus loans	L
2.			
3.			
4.			
5.			

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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) 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. Bank of Hawaii accounts	A	Interest	N	T					
2. ██████████, stock		None	J	W					
3. IRA account #1 (H)									
4. -- Goldman Sachs Bank CD due 9/29/23	A	Interest	K	T					
5. -- Schwab Aggregate US Bond Index Fund	C	Int./Div.	M	T	Buy (add'l)	08/09/19	K		
6.					Buy (add'l)	08/12/19	K		
7. -- Schwab bank sweep, fka Schwab money market fund	A	Int./Div.	J	T					
8. -- Vanguard Index Trust S&P 500	D	Int./Div.	N	T	Sold (part)	08/09/19	K	E	
9. IRA account #2 (H)									
10. -- Goldman Sachs Bank CD due 9/29/23	A	Interest	K	T					
11. -- Schwab Aggregate US Bond Index Fund	D	Int./Div.	O	T	Buy (add'l)	08/09/19	K		
12. -- Schwab bank sweep, fka Schwab money market fund	A	Interest	K	T					
13. --Vanguard Index Trust S&P 500	D	Int./Div.	P1	T					
14. Trust #1 (H)									
15. -- Bank of Hawaii account	A	Interest	J	T					
16. Trust #2 (H)									
17. -- American Express Bank CD due 9/4/19	A	Interest			Matured	09/04/19	K	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 \$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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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. -- American Express Bank CD due 11/20/19	A	Interest			Matured	11/20/19	J	A	
19. -- American Express Centurion CD due 8/22/19	A	Interest			Matured	08/22/19	K	A	
20. -- Schwab Aggregate US Bond Index Fund	A	Int./Div.	K	T					
21. -- Schwab bank sweep, fka Schwab money market fund	A	Interest	K	T					
22. -- State Bank of In CD due 6/24/20	A	Interest	K	T	Buy	12/10/19	K		
23. -- Touchmark Nat'l Bank CD due 11/19/20	A	Interest	K	T	Buy	12/10/19	K		
24. Trust #3 (H)									
25. -- Glenmeade Small Cap Eqty	A	Int./Div.	K	T					
26. -- Harbor Intl Fund	A	Int./Div.	J	T					
27. -- PIMCO Total Return PTTDX	A	Int./Div.	J	T					
28. -- Schwab Aggregate US Bond Index Fund	A	Int./Div.	K	T					
29. -- Schwab bank sweep, fka Schwab money market fund	A	Int./Div.	J	T					
30. -- Schwab Intl Index Fund	A	Int./Div.	K	T					
31. -- Schwab S&P 500 Index Fund	A	Int./Div.	L	T	Buy	12/10/19	L		
32. -- Schwab Small Cap Income Fund	A	Int./Div.	J	T					
33. -- Vanguard Index Trust S&P 500	C	Int./Div.	M	T					
34. Brokerage Account #1 (H)									

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	
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 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. -- Goldman Sachs Bank CD due 09/29/23	D	Interest	M	T					
36. -- Schwab bank sweep, fka Schwab municipal money market fund	A	Interest	L	T					
37. U.S. Savings Bonds		None	J	T					
38. pension & profit sharing plan (Y)									
39. -- Schwab bank sweep, fka Schwab money market fund (Y)									
40. -- Vanguard Index Trust S&P 500 (Y)									
41. -- Schwab Aggregate US Bond Index Fund (Y)									
42. State of Hawaii PTS Deferred Comp. Retirement Plan	A	Int./Div.	J	T					
43. Hawaii Pacific Health Medical Group 403(b) plan (H)									
44. -- T. Rowe Price Retirement 2025 fund	A	Int./Div.	J	T	Buy	11/27/19	J		
45.					Buy (add'l)	12/11/19	J		
46.					Buy (add'l)	12/24/19	J		

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

Part III.B, line 1, and Part VII, lines 2 and 38: [REDACTED] is the sole, stockholder, officer, and director, and an employee, of a corporation through which [REDACTED] conducts [REDACTED] medical practice. The corporation's legal name includes [REDACTED] full name. The Committee on Financial Disclosure has approved the redaction of [REDACTED] name by letter dated May 3, 2004. The Committee most recently renewed its approval on January 28, 2019.

Part VIII line 10: in prior reports, I stated that the maturity date of this CD was in 1993. This was a typographical error which I have corrected in this report. The correct maturity date is in 2023.

Part VIII lines 38-41: this pension plan was terminated in 2019 and the assets were transferred in kind to IRA Account #2.

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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/ Robert J. Faris**

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