

AO-10 (w)
Rev. 8/96**FINANCIAL DISCLOSURE REPORT**
Nomination ReportReport Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
35 U.S.C. App. 4, Sec. 101-112

1. Person Reporting (Last name, first, middle initial) Gold, Alan S.		2. Court or Organization Southern District of Florida	3. Date of Report 02/14/1997
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge		5. Report Type (check type) ☒ Nomination, Date 02/12/1997 Initial _____ Annual _____ Final _____	6. Reporting Period / / to / /
7. Chambers or Office Address 721 Saldano Avenue Coral Gables, Florida 33143		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on the last page.			

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions)

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
¹ Circuit Court Judge	Eleventh Judicial Circuit, Dade County, Fl.
² Shareholder	GKA Investments, Inc., a Florida Corp.
³ Advisory Board Member	Actors Playhouse

II. AGREEMENTS (Reporting individual only; see pp. 14-17 of Instructions)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
¹ 1996	Greenberg, Traurig 401(K) Plan with Former Law Firm (no control)
² 1996	State of Florida Pension Plan (no control)
³	

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 18-25 of Instructions)

DATE	PARTIES AND TERMS	GROSS INCOME (Years, not spouse's)
☐ NONE (No reportable non-investment income.)		
¹ 1996	State of Florida (salary)	\$ 103,358.52
² 1/31/97	State of Florida (salary)	\$ 8,979.83
³ 1996	University of Miami (salary) (S)	\$ 54,563.27
⁴ 1/31/97	University of Miami (salary) (S)	\$ 3,654.00
⁵		

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IV. REIMBURSEMENTS and GIFTS - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp. 34-39 of Instructions.)

	SOURCE	DESCRIPTION
☒	NONE (No such reportable reimbursements or gifts)	
1	Exempt	
2		
3		
4		
5		
6		
7		

V. OTHER GIFTS

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp. 30-33 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☒	NONE (No such reportable gifts)		
1	none		
2			
3			
4			

VI. LIABILITIES

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(U)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 34-36 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
	NONE (No reportable liabilities)		
1	Emerson College	Tuition Plan	J
2	Lexus Financial Services	Car lease	J
3			
4			
5			
6			
7			

* VAL CODES J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 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 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

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VII. Page 1 INVESTMENTS and TRUSTS

- Income, value, transactions (includes those of spouse and dependent children. See pp. 37-54 of Instructions.)

A. Description of Assets <i>Indicate where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(D)" after each asset except from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (no reportable income, assets, or transactions)									
1 Savings Account-WatsonsBank	A	Interest	J	T	Exempt				None
2 Checking Account-Capital Bank	A	Interest	J	T	Exempt				
3 State of lreal Bonds	A	Interest	J	T	Exempt				
4 Life Insurance-Equitable	A	None	P4	T	Exempt				
5 Florida Deferred Compensation Plan	C	None	K	T	Exempt				
6 Retirement Plan (a)	A	None	K	T	Exempt				
7 IRRA -Treasury Strips		None	H	T	Exempt				
8 IRRA-BANK NOTE		None	K	T	Exempt				
9 IRA-cash		None	J	T	Exempt				
10 IRA-Spouse-Cash		None	J	T	Exempt				
11 IRA-Spouse-Treasury Strips		None	K	T	Exempt				
12 IRA-Spouse-Common Stock		None	J	T	Exempt				
13 Merrill, Lynch (S) Cash		None	J	T	Exempt				
14 Merrill, Lynch (S) Erie Cnty Bond		None	K	T	Exempt				
15 Merrill, Lynch (S) Leon Cnty Bond		None	K	T	Exempt				
16 Merrill, Lynch (S) W. Hampton Bond		None	K	T	Exempt				
17 Merrill, Lynch (S) Lee Cnty Bond		None	K	T	Exempt				
1 Inc/Gas 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 (Col. B1, D4) F=\$50,001-\$100,000 G=\$100,001-\$1,000,000 H1=\$1,000,001-\$5,000,000 H2=\$5,000,001 or more 2 Val Codes J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 N=\$250,001-\$500,000 (Col. C1, D3) O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000 P2=\$5,000,001-\$25,000,000 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more 3 Val Mth Codes Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market (Col. C2) U=Book Value V=Other W=Estimated									

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VII. Page 2 INVESTMENTS and TRUSTS

— income, value, transactions (includes those of spouse and dependent children. See pp. 37-54 of Instructions.)

A. Description of Assets <i>Indicate where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(O)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period	C. Gross value at end of reporting period	D. Transactions during reporting period						
	(1) Amt. Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (no reportable income, assets, or transactions)									
18 Merrill, Lynch (S) Socorro Bond		None	K	T	Exempt				
19 Merrill, Lynch (S) Miami Fl Sports Bond		None	J	T	Exempt				
20 Merrill, Lynch (S) ML Global Fund		None	J	T	Exempt				
21 Merrill, Lynch (S) Seligman Comm.		None	L	T					
22 Merrill, Lynch (D) cash		None	J	T	Exempt				
23 Merrill, Lynch (D) Treasury Strips		None	J	T	Exempt				
24 Merrill, Lynch (J) Cash		None	J	T	Exempt				
25									
26 Merrill, Lynch (J) Miami Fl Sp Bond	A	Dividend	J	T	Exempt				
27									
28 Aim Const. Mutual Fund (J)	B	Dividend	K	T	Exempt				
29 MFS Emerg Growth (J) Mutual Fund	A	Dividend	K	T	Exempt				
30 Seligman Comm. Fund (J)	B	Dividend	K	T	Exempt				
31 FILAC Corp. Bond (J)	A	Interest	K	T	Exempt				
32									
33 Miami Fl Sports Municipal Bond (J)		None	J	T	Exempt				
34									

1 Inc/Gain Codes A=\$1,000 or less (Col B1, D4) F=\$500,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$1,000,001-\$5,000,000	D=\$5,001-\$15,000 H2=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes J=\$15,000 or less (Col C1, D3) O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
3 Val Mth Codes Q=Appraisal (Col C2) U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

VII. Page 3 INVESTMENTS and TRUSTS

- income, value, transactions (includes those of spouse and dependent children. See pp. 37-54 of instructions.)

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Name of Person Reporting Gold, Alan S.	Date of Report 02/14/1997
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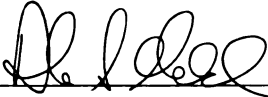
IX. CERTIFICATION

In compliance with the provisions of 28 U.S.C. 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

2/14/97

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. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544