

**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) Mund, Geraldine	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 06/4/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 21041 Burbank Blvd. Woodland Hills, CA 91356		
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.	

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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

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
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.		
2.		
3.		
4.		
5.		

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. Bank of America	A	Interest	K	T					
2. Real Estate Investments in Israel (Kiryat Bialik)	A	Interest	J	U					
3. State of Israel Bonds	A	Interest	J	T					
4. Rental Property, Sherman Oaks, CA	E	Rent	O	W					
5. Vacant Land Kern County, CA - appraisal by State 2003		None	K	Q					
6. WELLS FARGO ADVISORS									
7. - Aegon NV	A	Dividend	J	T					
8. - San Francisco CA County Public Utils	A	Interest	J	T					
9. - Wells Fargo Sweep Account	A	Interest	J	T					
10. - Dreyfus Alcentra Global Cr. Income 2024 Target Term FD Inc	A	Dividend			Sold	10/29/19	K		
11. - Emerson Electric Co	A	Dividend	J	T					
12. - Invesco High Income 2024 Target Term FD	A	Dividend			Sold (part)	05/24/19	J		
13. - Invesco High Income 2024 Target Term FD					Sold	06/26/19	J	A	
14. - Prudential World Fd Jennison Global Opptys Fund [PGIM Global]		None	J	T					
15. - Qualcomm, Inc.	A	Dividend	J	T					
16. - Allianzgi Inc & Growth	A	Dividend	J	T	Sold (part)	03/22/19	J		
17. - Allianzgi Inc & Growth					Sold (part)	06/26/19	J		

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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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. - William Blair Small Cap		None			Sold (part)	03/22/19	J		
19. - William Blair Small Cap					Sold	05/24/19	J		
20. - Dreyfus Equity Income	A	Dividend			Sold (part)	03/22/19	J		
21. - Dreyfus Equity Income					Sold	05/24/19	J		
22. - AT&T (5.625%)	A	Interest			Sold	06/26/19	J	A	
23. - Brighthouse Finl PDF	A	Interest			Sold	11/25/19	J	A	
24. - Symetra Life Ins. Annuity contract - fixed rate		None	M	T					
25. - Blackrock Science	A	Distribution	K	T	Buy	06/26/19	K		
26. - Angel Oak Finl Strategies	A	Distribution	K	T	Buy	05/29/19	K		
27. - Angel Oak Finl Strategies	A	Dividend							
28. - Brighthouse Finl 6.6% pfd	A	Dividend	J	T	Buy	03/18/19	J		
29. - Allianzgi Artificial Intelligence & Tech Opp	A	Dividend	K	T	Buy	10/29/19	K		
30. - Calamos Long/Short Equity & Dynamic Income	A	Dividend	J	T	Buy	11/26/19	J		
31. - Rivernorth Managed Duration Muni Inc. Fund	A	Dividend	K		Buy	07/26/19	K		
32. - Emerald Banking & Finance Fund	A	Dividend	J	T	Sold (part)	07/26/19	J	A	
33.									

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)					

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

Part VII - when there was a partial sale, but I still owned shares at the end of 2019, the income and value are only under the initial entry. If I did not own any remaining shares, there is no value reported for the end of the reporting year. See Invesco High Income (line 12 &13), Allianzgi Inc & Growth (line 16-18), and Dreyfus Equity Inc. (line 21&22).

Part VII, line 27&28 - Angel Oak had two types of income, so I noted each on a separate line.

Part VII, line 32 - Emerald Banking and Finance Fund - I originally purchased this on 8/14/15 under the name of Fidelity Emerald Banking. Since then the transactions have been as follows:

8/14/15 - 97.403 shares bought - Fidelity Emerald Banking

11/5/15 - 15.684 shares bought - Fidelity Emerald Banking

9/19/17 - my 143.99 shares of Fidelity Emerald Banking were converted to 139.149 shares of Emerald Banking and Finance Fund - this was reported on line 24 of the report that I filed for 2017 (dated 5/28/18)

In December 2018 I owned 173.89 shares of Emerald Banking. However, I confused Emerald Banking with Emerald Equity and on my amended report for 2018, I reported that I had sold all of my Emerald Banking shares on 12/16/15 (line 19). It was Emerald Equity that had been sold in 2015 and I still owned a total of 173.89 Emerald Banking shares.

7/26/19 - I sold 110.78 shares of Emerald Banking and retained 63.197 shares. I am including this on line 32 of the current report. I am filing an amended report for 2018 to correct this error.

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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/ Geraldine Mund**

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