

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) Kaufman, Victoria S.	2. Court or Organization California - Bankruptcy Court	3. Date of Report 07/27/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States 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 United States Bankruptcy Court San Fernando Valley Division 21041 Burbank Boulevard, Suite 354 Woodland Hills, CA 91367		
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. _____	_____
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.)

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.				

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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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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. Citibank accounts	B	Interest	M	T					
2. Kaufman Investments LLC (rental property in Shorewood, IL)	A	Interest	L	U					
3. Brokerage Acct. # 2									
4. -- Acasti Pharma Inc.		None			Buy	08/07/19	J		
5.					Buy	12/16/19	J		
6.					Sold	12/24/19	J	B	
7. -- Eclipse Resources Corporation		None			Sold (part)	02/01/19	J		
8.					Sold	02/04/19	J		
9. -- Goldman Sachs Financial Square Government Fund	D	Dividend	N	T	Buy	02/01/19	J		
10.					Buy	02/04/19	J		
11.					Sold (part)	02/05/19	J		
12.					Buy	02/22/19	J		
13.					Buy	03/01/19	J		
14.					Buy	03/07/19	J		
15.					Sold (part)	03/14/19	J		
16.					Buy	03/19/19	J		
17.					Buy	03/25/19	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	

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.					Sold (part)	03/28/19	J		
19.					Sold (part)	04/03/19	J		
20.					Sold (part)	04/29/19	J		
21.					Sold (part)	05/03/19	J		
22.					Sold (part)	05/14/19	J		
23.					Sold (part)	06/03/19	J		
24.					Buy	06/11/19	J		
25.					Buy	06/12/19	J		
26.					Sold (part)	06/26/19	J		
27.					Sold (part)	06/27/19	J		
28.					Sold (part)	08/07/19	J		
29.					Sold (part)	08/14/19	J		
30.					Buy	12/04/19	J		
31.					Buy	12/10/19	J		
32.					Buy	12/11/19	J		
33.					Buy	12/12/19	J		
34.					Buy	12/13/19	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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☐ 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.					Sold (part)	12/16/19	J		
36.					Buy	12/19/19	J		
37.					Buy	12/23/19	J		
38.					Buy	12/24/19	J		
39. -- Kandi Technologies Corp.		None	K	T	Sold (part)	02/22/19	J	C	
40.					Sold (part)	03/19/19	J	C	
41. -- Mesa Air Group		None			Buy	03/28/19	J		
42.					Buy	04/29/19	J		
43.					Sold (part)	05/14/19	J	B	
44.					Sold (part)	06/11/19	J	A	
45.					Sold (part)	06/12/19	J	A	
46.					Buy	06/27/19	J		
47.					Buy	08/14/19	J		
48.					Sold (part)	12/10/19	J		
49.					Sold	12/11/19	J	B	
50. -- Montage Resources		None			Buy	03/14/19	J		
51.					Sold	03/25/19	J	A	

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52.					Buy	04/03/19	J		
53.					Buy	05/03/19	J		
54.					Buy	07/19/19	J		
55.					Sold (part)	12/11/19	J		
56.					Sold (part)	12/12/19	J		
57.					Sold (part)	12/13/19	J		
58.					Sold (part)	12/19/19	J	A	
59.					Sold	12/23/19	J	B	
60.	-- Net 1 UEPS Technologies, Inc. CMN	None	L	T	Buy	02/05/19	J		
61.					Buy	06/26/19	J		
62.					Sold (part)	07/19/19	J		
63.					Buy	07/24/19	J		
64.					Buy	07/25/19	J		
65.					Buy	07/30/19	J		
66.	-- Stealthgas, Inc.	None	K	T	Buy	07/24/19	J		
67.					Sold (part)	07/24/19	J		
68.					Buy	07/25/19	J		

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	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.					Sold (part)	07/25/19	J		
70.					Buy	07/30/19	J		
71.					Sold (part)	07/30/19	J		
72.					Sold (part)	12/04/19	J		
73.					Sold (part)	12/12/19	J		
74. -- Ultra Petroleum Corp.		None	J	T					
75. IRA # 2									
76. -- Sprott Physical Gold ETV		None	J	T					
77. IRA # 3									
78. -- Ishares Gold Trust		None	K	T					
79. -- Ishares Silver Trust		None	J	T					
80. Annuity # 1									
81. -- Fidelity VIP Money Market		None	K	T					
82. Capital One account # 1	B	Interest	M	T					
83. Annuity # 2 - John Hancock Asset Management Money Market		None	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ **Victoria S. Kaufman**

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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One Columbus Circle, N.E.
Washington, D.C. 20544