

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Applebaum, Joel D.	2. Court or Organization US Bankruptcy Court for Eastern District of Michigan	3. Date of Report 02/19/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge for E.D. Michigan	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States Bankruptcy Court for the Eastern District of Michigan 226 West Second Street Flint, Michigan 48502		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director (unpaid position)	Access to Bankruptcy Court (not for profit corporation)
2. Director (unpaid position)	Legal Aid and Defender Association (not for profit corporation)
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**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. 2020	Nexteer Automotive (annual salary)
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.				
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)	(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 Cash equivalent accounts	A	Interest	K	T					
2. MESP 529 College Savings Account (aged-Based)		None	K	T					
3.									
4. Nexteer Automotive Retirement Account (H)									
5. - Fidelity US Bond Index Fund	A	Dividend	J	T					
6. - American Funds 2045 Trgt Date Fund	A	Dividend	K	T					
7.									
8. Capital Group/American Funds IRA Account #1 (H)									
9. - ABALX	A	Dividend	K	T					
10. - CWGIX	A	Dividend	K	T					
11. - AGTHX	A	Dividend	K	T					
12. - AMECX	A	Dividend	K	T					
13. - ANEFX	A	Dividend	K	T					
14.									
15. Capital Group/American Funds IRA (39) #2 (H)									
16. - AMRMX	A	Dividend	J	T					
17. - CAIBX	A	Dividend	J	T					

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. - AGTHX	A	Dividend	J	T					
19. - NEWFX	A	Dividend	J	T					
20. - AWSHX	A	Dividend	J	T					
21.									
22. Charles Schwab One Account (54) (H)									
23. - Charles Schwab money market/sweep account	A	Interest	M	T					
24. - (BIV) VANGUARD INTERMEDIATE TERM BOND ETF	A	Dividend			Sold	03/19/20	J	A	
25. - (BSV) VANGUARD SHORT-TERM BOND ETF	A	Dividend	J	T	Sold (part)	03/19/20	J	A	
26. - (DFCEX) DFA EMERGING MKTS CORE EQTY PORT INSTL	A	Dividend	J	T	Buy (add'l)	03/18/20	J		
27.					Sold (part)	06/10/20	J	A	
28. - (DFGBX) DFA FIVE YEAR GLBL FIXED INCM PORT INSTL	A	Dividend	K	T	Sold (part)	03/18/20	J	A	
29. - (DFGEX) DFA GLBL REAL ESTATE SEC PORT INST	A	Dividend	J	T	Sold (part)	06/10/20	J	A	
30. - (DFLVX) DFA US LARGE CAP VALUE PORT INSTL	A	Dividend	K	T	Sold (part)	06/10/20	J	A	
31. - (DFS VX) DFA US SMALL CAP VALUE PORT INSTL	A	Dividend	J	T	Buy (add'l)	03/18/20	J		
32.					Sold (part)	06/10/20	J	A	
33. - (DFIEX) DFA INTL CORE EQTY PORT INSTL	A	Dividend	K	T					
34. - (DISVX) DFA INTL SMALL CAP VALUE PORT INSTL	A	Dividend	J	T					

1 Income Gain 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
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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35. - (SWAGX) SCHWAB US AGGREGATE BOND INDEX FD	A	Dividend	K	T	Sold (part)	03/19/20	J	A	
36. - (SWISX) SCHWAB INTL INDEX FUND	A	Dividend	J	T	Sold (part)	03/19/20	J	A	
37. - (SWTSX) SCHWAB TOTAL STOCK MKT INDEX	A	Dividend	J	T	Buy (add'l)	03/18/20	J		
38. - (SWVXX) SCHWAB VALUE ADVANTAGE	A	Dividend	K	T					
39. - (VTI) VANGUARD TOTAL STOCK MARKET ETF	A	Dividend	J	T	Sold (part)	03/19/20	J	D	
40.									
41. Charles Schwab Rollover IRA Account (96) (H)									
42. - Charles Schwab money market/sweep account	A	Interest	L	T					
43. - (DFGBX) DFA FIVE YEAR GLBL FIXED INCM PORT INSTL	A	Dividend	J	T					
44. - (SWAGX) SCHWAB US AGGREGATE BOND INDEX FD	A	Dividend	K	T					
45. - (DFCEX) DFA EMERGING MKTS CORE EQTY PORT INSTL	A	Dividend	J	T					
46. - (DFGEX) DFA GLBL REAL ESTATE SEC PORT INST SEC PORT INST	A	Dividend	J	T					
47. - (DFLVX) DFA US LARGE CAP VALUE PORT INSTL	A	Dividend	J	T					
48. - (DFS VX) DFA US SMALL CAP VALUE PORT INSTL	A	Dividend	J	T					
49. - (SWISX) SCHWAB INTL INDEX FUND	A	Dividend	J	T					
50. - (SWTSX) SCHWAB TOTAL STOCK MKT INDEX	A	Dividend	J	T					
51.									

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions

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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/ Joel D. Applebaum**

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