

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) Albert, Theodor C.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 10/28/2021
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 411 W. Fourth Street Santa Ana, CA 92701-4593 Suite 5085		
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	Old Towne Preservation Association (see Part VIII)
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Albert, Theodor C.

Date of Report

10/28/2021

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	Chapman University, Fowler School of Law	\$6,600.00
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. 1/19-12/19	periodic draws her lawfirm Gaskell & Associates
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. George Mason Univeristy Antonin Scalia Law School Law & Economics Center	October 2019	Santa Fe New Mexico	attend conference	two nights lodging, meals and airfare
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Albert, Theodor C.	10/28/2021

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. Bank of America	credit card balance	J
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Albert, Theodor C.

Date of Report

10/28/2021

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. Georgia Dover Educ. Trust #2	A	Dividend	L	T	Distributed (part)	04/01/19	J		
2. -Washington Mutual Investors Fund	A	Interest	L	T	Distributed (part)	06/01/19	J		
3.									
4. Bank of America checking	A	Interest	J	T					
5. Wells Fargo Checking (see Part VIII)	A	Interest	J	T					
6. Wells Fargo Checking (see Part VIII)	A	Interest	J	T					
7. Simple IRA Wells Fargo Advisors	A	Interest	K	T					
8. Wells Fargo Advisors #1 header									
9. -Wells Fargo Cash deposit	A	Interest	J	T					
10. -BP PLC Spons ADR	A	Dividend	J	T					
11. -Darden Restaurants	A	Dividend	J	T					
12. -Frontier Communications	A	Dividend	J	T	Sold (part)	08/02/19	J		
13. -General Electric Corp.	A	Dividend	J	T	Sold (part)	08/06/19	J		
14. -Morgan Stanley PVT B	A				Buy	05/30/19	J		
15. -Morgan Stanley PVT B					Sold	08/02/19	J		
16. -New York Community Bancorp.	A	Distribution	J	T					
17. -Morgan Stanley Fix/Float CPA Note	A	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

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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)
18. -Morgan Stanley Fix/Float	A	Interest	K	T					
19. -U.S. Treasury Bond	A	Interest	J	T					
20. -Aberdeen Asia Pacific Fund	B	Dividend	J	T					
21. -Kinder Morgan Inc	A	Dividend			Sold	02/11/19	J		
22. -Two Harbors Ivt. Corp	B	Dividend	J	T					
23. -Eaton Vance Tax Managed Global		None	J	T					
24. -Eaton Vance Tax Managed	A	Dividend	K	T					
25. -Bristol Myers Squibb	A				Sold	08/23/19	K	A	
26. -Office Depot	A	Dividend	J	T	Buy	02/15/19	J		
27. -Blackrock Enhanced Govt. Fund	A	Dividend	J	T					
28. -Green Mountain Coffee		None	J	T					
29. -WABTEC	A	Dividend	J	T					
30. -New York Comm Bancorp		Dividend	J	T					
31. -Hawaiian Elec. Inds I		None	J	T					
32. --Amgen Inc.		None	J	T					
33. Wells Fargo Advisors #2 header									
34. -Cash sweep account	A	Interest	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		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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Albert, Theodor C.

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10/28/2021

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35. -Energy Transfer LP	A		J		Buy	05/30/19	J		
36. -Morgan Stanley Pvt. Bk.	A		K		Buy	04/04/19	K		
37. -Vanguard Dividend Appreciation	A	Dividend	K	T	Buy	03/06/19	K		
38. -Two Harbors Invt. Corp.	A	Dividend	J	T	Sold (part)	05/30/19	J	A	
39. -LaSalle Bank Floating Rate		None	K	T					
40. Novartis AG Spon ADR	A	Dividend			Sold	04/04/19	K	A	
41. Wells Fargo Advisors #3 IRA header									
42. -La Salle Bank floating Rate	A	Interest	K	T					
43. -Aust. Currency Shres DL ETF	A	Dividend	J	T					
44. -SPDR DB Intl. Govt.		None	J	T					
45. -Xerox Corp.aka Conduent, Inc. see Part VIII	A	Distribution	J	T					
46. -Xerox Corp.	A	Dividend	J	T	Buy (add'l)	02/08/19	J		
47. -Xerox Corp					Sold	12/10/19	J	A	
48. -Westrock Co.	A		K		Buy	09/11/19	K		
49. -C. SPLS 032015.		None	J	T					
50. -C SPLS 032015		None	J	T					
51. -Hecla Mining	A	Dividend	J	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
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)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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Albert, Theodor C.

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10/28/2021

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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)
52. -AT&T	A	Dividend	J	T					
53. -Guggenheim Build Am.	A	Dividend	K	T					
54. -Pfizer	A	Dividend	J	T					
55. -Pfizer	A	Dividend	J	T					
56. -Amgen. Inc.	A	Dividend	J	T					
57. -Amgen, Inc.	A	Dividend	J	T					
58. -Amgen, Inc.	A	Dividend	J	T					
59. -Starz Series A	A	Dividend	J						
60. -Guggenheim Build Am.	A	Dividend	J	T					
61. -Deere&Co.	A	Dividend	J	T					
62. -Nuveen S&P 500 Buy-Write	A	Dividend			Sold	08/02/19	J		
63. -Firstenergy Corp.	A	Dividend	J	T					
64. -Hertz Global Holdings		None	J	T					
65. -Ford Motor Co.	A	Dividend	J	T					
66. -JPMorgan Chase med. notes		None	K	T					
67. -Hecla Mining	A	Dividend	J	T					
68. -Hecla Mining	A	Dividend	J	T					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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69. -Fitbit, Inc. CL A	A	Dividend	K	T					
70. -Hecla Mining Co.	A	Dividend	K	T					
71. -At&T Inc.	A	Dividend	J	T					
72. -IShares MSCI ETF	A	Dividend	J	T					
73. -Salesforce.com	A	Dividend	J	T					
74. -Tupperware Corp.	A	Dividend	J	T					
75. -Hanesbrands, Inc.	A	Dividend	J	T					
76. -Zagg, Inc.	A	Dividend	J	T					
77. -Morgan Stanley Bk NA CD Salt Lake City acct 365	A	Interest	K	T	Buy	02/08/19	K		
78. -US Treasury Inf. Indexed Notes	A	Interest	K	T	Buy	12/11/19	K		
79. The [REDACTED] Trust (see partVIII) header									
80. -Morgan Stanley SR unsec. variable	A	Interest			Sold	09/05/19	J		
81.									
82.									
83.									

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Albert, Theodor C.

Date of Report

10/28/2021

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

VII Investments cont. Items #1 Georgia Dover Educational trust are invested in Washington Mutual Investor's Fund administered by Learning Quest.

VII Investments cont. Item#5: This Wells Fargo account holds monies received as my distribution from [REDACTED] Trust 05/15/2017

VII Investments cont. Item#6: This account is the operating account for [REDACTED] lawfirm Gaskell & Associates. Balance fluctuates daily.

VII Investments cont. Item #79-80 : The great bulk of the [REDACTED] Trust was distributed to the beneficiaries. However, a portion of the funds are still being administered at Wells Fargo Advisors by me in a joint account for benefit of [REDACTED] The joint account with [REDACTED] assent is now being administered for [REDACTED] education although I am still on title jointly as a protective device..

Part I: Old Towne Preservation Association is a non-profit charitable/educational association dedicated to the preservation of architecture from before 1940 in Old Towne Orange, CA. The directorship is unpaid.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Albert, Theodor C.

Date of Report

10/28/2021

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/ **Theodor C. Albert**

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