

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018**

*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 06/18/2019
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 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
7. Chambers or Office Address 411 W. Fourth Street Santa Ana, CA 92701-4593 Suite 5085		
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. 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.	

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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. 2018	Chapman University, Fowler School of Law	\$6,450.00
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. 1/18-12/18	periodic partner draws from her lawfirm Gaskell&Brown LLP, which in approximately 4/18 became Gaskell & Associates APC
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. California Bankruptcy Forum	May 2018	Squaw Creek, California	annual conference	two nights lodging and meals
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.	Bank of America	credit card balance	K
2.	Wells Fargo	credit card balance	J
3.	Macy's credit	credit card balance	J
4.			
5.			

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Name of Person Reporting

Albert, Theodor C.

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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. Georgia Dover Educ. Trust #2	A	Dividend	L	T	Distributed (part)	04/01/18	J		
2. -Washington Mutual Investors Fund	A	Interest	L	T	Distributed (part)	04/01/18	J		
3. -Learning Quest	A	Interest	J	T	Distributed (part)	04/01/18	J		
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					
13. -General Electric Corp.	A	Dividend	J	T					
14. -General Electric Corp.			J	T	Buy (add'l)	06/26/18	K		
15. -New York Community Bancorp.	A	Distribution	J	T					
16. -Morgan Stanley Fix/Float CPA Note	A	Interest	J	T					
17. -Morgan Stanley Fix/Float	A	Interest	K	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. -U.S. Treasury Bond	A	Interest	J	T					
19. -Aberdeen Asia Pacific Fund	B	Dividend	J	T					
20. -Aberdeen Asia Pacific Fund			J	T	Sold (part)	09/26/18	K	A	
21. -Morgan Stanley Emerging Market Fund	A	Dividend	J	T	Sold (part)	01/08/18	J		
22. -Eaton Vance Tax Managed Global	A	Dividend	J	T					
23. -Eaton Vance Tax Managed	A	Dividend	K	T					
24. -Gabelli Dividend&Income Trust	A	Dividend	J	T					
25. -Gabelli Dividend&Income Trust					Sold (part)	09/26/18	J	A	
26. -Gabelli Dividend&Income Trust					Sold (part)	12/21/18	J	A	
27. -Blackrock Enhanced Govt. Fund	A	Dividend	J	T					
28. -Green Mountain Coffee	A	Dividend	J	T					
29. -Vanguard Divid Appr ETF	A	Dividend			Sold	11/14/18	K	A	
30. -New York Comm Bancorp	A	Dividend	J	T					
31. -Hawaiian Elec. Inds I	A	Dividend	J	T					
32. --Amgen Inc.	A	Dividend	J	T					
33. Wells Fargo Advisors #2 header									
34. -Cash sweep account	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	
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35. -Two Harbors Inv. Corp.	A	Dividend	J	T	Buy (add'l)	01/08/18	J		
36. -LaSalle Bank Floating Rate		None	K	T					
37. Novartis AG Spon ADR	A	Dividend	J	T	Buy	08/30/18	K		
38. Wells Fargo Advisors #3 IRA header									
39. -La Salle Bank floating Rate	A	Interest	K	T					
40. -Aust. Currency Shres DL ETF	A	Dividend	J	T					
41. -SPDR DB Intl. Govt.		None	J	T					
42. -Xerox Corp.aka Conduent, Inc. see Part VIII	A	Distribution	J	T	Buy (add'l)	07/23/18	J		
43. -Xerox Corp					Sold (part)	07/23/18	J	A	
44. -C. SPLS 032015.		None	J	T					
45. -C SPLS 032015		None	J	T					
46. -Hecla Mining	A	Dividend	J	T					
47. -AT&T	A	Dividend	J	T					
48. -Guggenheim Build Am.	A	Dividend	K	T					
49. -Pfizer	A	Dividend	J	T					
50. -Pfizer	A	Dividend	J	T					
51. -Amgen. Inc.	A	Dividend	J	T					

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3 Value Method Codes (See Column C2)					

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52. -Amgen, Inc.	A	Dividend	J	T					
53. -Amgen, Inc.	A	Dividend	J	T					
54. -Starz Series A	A	Dividend							
55. -Guggenheim Build Am.	A	Dividend	J	T					
56. -Deere&Co.	A	Dividend	J	T					
57. -Nuveen S&P 500 Buy-Write	A	Dividend	J	T					
58. -Firstenergy Corp.	A	Dividend	J	T	Sold (part)	04/03/18	J	A	
59. -Google CL C Non-voting		None			Sold	12/18/18	K	A	
60. -Hertz Global Holdings		None	J	T					
61. -Ford Motor Co.	A	Dividend	J	T					
62. -JPMorgan Chase med. notes	A	Interest			Sold	12/26/18	J	A	
63. -Hecla Mining	A	Dividend	J	T					
64. -Hecla Mining	A	Dividend	J	T					
65. -Fitbit, Inc. CL A	A	Dividend	K	T					
66. -Hecla Mining Co.	A	Dividend	K	T					
67. -Advanced Micro Devices	A	Dividend	J	T	Buy	05/11/18	J		
68. -Advanced Micro Devices					Buy (add'l)	09/26/18	J		

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69. -Advanced Micro Devices					Sold (part)	09/26/18	K	A	
70. -At&T Inc.	A	Dividend	J	T	Buy (add'l)	09/06/18	J		
71. -IShares MSCI ETF	A	Dividend	J	T					
72. -Salesforce.com	A	Dividend	J	T	Sold (part)	10/10/18	J	A	
73. -Alibaba Grp.	A	Dividend	J	T	Sold (part)	11/01/18	J	A	
74. -Amazon,Inc.	A	Dividend	J	T	Buy (add'l)	10/16/18	J		
75. -Tupperware Corp.	A	Dividend	J	T	Buy	02/08/18	J		
76. -Hanesbrands, Inc.	A	Dividend	J	T					
77. -Twitter, Inc.	A	Dividend			Sold	02/08/18	J	A	
78. -Zagg, Inc.	A	Dividend	J	T	Buy (add'l)	04/03/18	J		
79. -Zagg, Inc.					Sold (part)	07/23/18	J	A	
80. -US Treasury Inf. Indexed Notes	A	Interest	K	T					
81. The [REDACTED] Trust (see partVIII) header									
82. -Toronto Dominion Bank note	A	Interest			Sold	08/02/18	K	A	
83. -Goldman Sachs CD	A	Interest			Redeemed	10/11/18	J	A	
84. -Morgan Stanley SR unsec. variable	A	Interest	K	T					
85. -State Bank of India CD	A	Interest			Redeemed	04/11/18	J	A	

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86. Wells Fargo Advisors header									
87. -Morgan Stanley Fixed to Float note	A	Interest	K	T					

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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 #81-85 : 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], who was a beneficiary of the [REDACTED] Trust but not quite 25 years of age. The joint account with [REDACTED] assent is now being administered for [REDACTED] education although I am still on title jointly as a protective device..

VII Investments cont. Item #87 an account held jointly with [REDACTED] at Wells Fargo Advisors.

Part I: Old Towne Preservation Association is a non-profit charitable/educational association dedicated to the preservation of architecture from before 1930 in Old Towne Orange, CA. The directorship is unpaid.

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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/ **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