

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) TICE Jr., Douglas O.	2. Court or Organization USBC-EDVA	3. Date of Report 05/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 701 East Broad Street, Fifth Floor Richmond, Virginia 23219-1888		
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. Insert signature on last page.		

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. Director, Assistant Secretary (elected 2006)	The Historical Society of the U.S. District Court for the Eastern District of VA., Inc.
2. Director (elected 2009)	Federal Bar Association (Richmond Chapter)
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. 1/10/11	Matthew Bender & Co. Inc. - Author's Fees	\$1,000.00
2. 1/18/11	Richmond Discoveries - Author's Royalties	\$567.00
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. Richmond Bar Assoc	01/20/11	Richmond, VA	CLE Program	food
2. No. Va. Bankruptcy Bar Assoc	02/16-17/11	Arlington, VA	Bar Assoc Program Speaker	food & lodging - CLE speaker for subject matter
3. American Bankruptcy Institute	03/06- 08/11	New York, NY	Dubenstein Moot Court	transportation, lodging, food
4. U.S.District Court Historical Society & Federal Bar Association ["not govt entities"]	04/14/11	Richmond, VA	Retirement Reception	food
5. Richmond Bar Assoc	05/02/11	Richmond, VA	Bar Assoc Law Day Program	food - hosted table at Law Day program

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6.	Va Bankruptcy Bar Association	05/06 - 08/11	Duck, NC	CLE Program	transportation, lodging, food
7.	No. Va. Bankruptcy Bar Assoc	09/15/11	Arlington, VA	Retirement Dinner	food
8.	Richmond Bar Assoc Bankruptcy Section	09/29/11	Richmond, VA	CLE Program	food
9.	Richmond Bar Assoc	11/17/11	Richmond, VA	CLE Program	food

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Checking Account SunTrust Bank, Richmond, VA	A	Interest	J	T					
2. MoneyMarketAccount SunTrust Bank, Richmond, VA	B	Interest	K	T					
3.									
4.									
5. Ridgeworth Prime Quality Money Market Account		None	J	T					
6. TransAmerica Life Ins. Co. Annuity		None	M	T					
7. Manulife Financial Corp. Common Stock	A	Dividend	K	T					
8. RBC Wealth Management Brokerage Money MktAcct	A	Int./Div.	J	T					
9. Met Life Common Stock	A	Dividend	J	T					
10. Alliant Tech Systems Common Stock		None	J	T					
11. IRA - Mass. Investors Trust	A	Dividend	J	T					
12. IRA - Mass. Investors Trust	A	Dividend	J	T					
13. TransAmerica Life Occidental whole life ins policy	A	Interest	K	T					
14. John Hancock Life Ins (USA) whole life ins policy	A	Dividend	J	T					
15. John Hancock Life Ins (USA) whole life ins policy	A	Dividend	J	T					
16. John Hancock Life Ins (USA) whole life ins policy	A	Dividend	J	T					
17. Northwestern Mutual whole life ins policy	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	

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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. Northwestern Mutual whole life ins policy	A	Interest	J	T					
19. Trust #1 [See Note, Part VIII]	E	Int./Div.	O	T					
20. -Met Life CD					Matured	12/01/11	L		
21. -Met Life Annuity		None	L	T	Buy	12/01/11	L		
22. -Money Market Account First Community Bank									
23. -Discover Bank CD									
24. -Discover Bank CD									
25. -VA Commonwealth Bank CD									
26. -Exxon Mobil Common Stock									
27.									
28.									
29.									

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 \$5,000,000	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, lines 19-26. Trust #1 not previously reported. It was created by [REDACTED] and became irrevocable upon [REDACTED] death [REDACTED]. [REDACTED] is trustee and a beneficiary. I did not include in 2010 report because I have no interest in the trust, and I understood instructions not to require reporting of trust that was not created by [REDACTED]. Assets were essentially the same in 2010.

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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/ Douglas O. TICE Jr.**

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
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