

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Carroll, Peter H.	2. Court or Organization U.S. Bankruptcy Court, Central District of California	3. Date of Report 04/28/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Bankruptcy Court 1415 State Street, Suite 230 Santa Barbara, CA 93101-2511		
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.		
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 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

04/28/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

04/28/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

04/28/2017

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. Time Share, Reno, NV		None	J	W					
2. I.R.A. # 3B									
3. -- T. Rowe Price Media & Telecommunications	A	Dividend	J	T	Sold (part)	02/08/16	J	A	
4.					Sold (part)	06/23/16	J	A	
5.					Sold (part)	07/26/16	J	A	
6. -- T. Rowe Price U.S. Treasury Money Market	A	Dividend	L	T	Buy (add'l)	02/08/16	J		
7.					Buy (add'l)	06/23/16	J		
8.					Buy (add'l)	07/26/16	J		
9. I.R.A. # 4									
10. -- T. Rowe Price Capital Appreciation	A	Dividend	K	T	Sold (part)	02/08/16	J	A	
11.					Sold (part)	06/23/16	J	A	
12. -- T. Rowe Price Mid-Cap Growth		None			Sold	02/08/16	J	A	
13. -- T. Rowe Price U.S. Treasury Money Market	A	Dividend	L	T	Buy (add'l)	02/08/16	J		
14.					Buy (add'l)	02/08/16	J		
15.					Buy (add'l)	06/23/16	J		
16.					Redeemed (part)	11/28/16	K		
17. Ally Bank									

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 H ~\$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 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

04/28/2017

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. -- C.D. # 1	A	Interest	J	T					
19. -- C.D. # 2	A	Interest	J	T					
20. -- C.D. # 3	A	Interest	J	T					
21. -- C.D. # 4	A	Interest	J	T					
22. -- Money Market Account	A	Interest	L	T	Redeemed (part)	10/22/16	K		
23. -- Savings Account	A	Interest	K	T	Open	10/22/16	K		
24.					Buy (add'l)	12/08/16	J		
25.					Buy (add'l)	12/13/16	J		
26. Brokerage Account # 2									
27. -- T. Rowe Price Mid-Cap Growth	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

04/28/2017

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

1. Part VII, Line 3. On February 28, 2016, a portion of the shares in T. Rowe Price Media & Communications in I.R.A. # 3B was sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 3B.
2. Part VII, Line 4. On June 23, 2016, a portion of the shares in T. Rowe Price Media & Communications in I.R.A. # 3B was sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 3B.
3. Part VII, Line 5. On July 26, 2016, a portion of the shares in T. Rowe Price Media & Communications in I.R.A. # 3B was sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 3B.
4. Part VII, Line 10. On February 8, 2016, a portion of the shares in T. Rowe Price Capital Appreciation in I.R.A. # 4 was sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 4.
5. Part VII, Line 11. On June 23, 2016, a portion of the shares in T. Rowe Price Capital Appreciation in I.R.A. # 4 was sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 4.
6. Part VII, Line 12. On February 8, 2016, all of the shares in T. Rowe Price Mid-Cap Growth in I.R.A. # 4 were sold and the proceeds were used to buy additional shares of T. Rowe Price U.S. Treasury Money Market in I.R.A. # 4.
7. Part VII, Line 22. On October 22, 2016, a portion of the funds in the Ally Bank Money Market was redeemed and used to open the Ally Bank Savings Account.
8. Part VII, Line 16. On November 28, 2016, a portion of the share in T. Rowe Price U.S. Treasury Money Market in I.R.A. # 4 were redeemed and the proceeds were deposited in the Ally Savings Account in two deposits -- one on December 8, 2016, and the other on December 13, 2016.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Carroll, Peter H.

Date of Report

04/28/2017

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/ **Peter H. Carroll**

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