

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Ellis-Monro, Barbara J.	2. Court or Organization U.S. Bankruptcy Court, Northern District of Georgia	3. Date of Report 05/10/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 75 Spring St., SW, Rm. 1430 Atlanta, GA 30303		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Employee (title, Partner - no ownership interest)	Ogier, Rothschild, Rosenfeld & Ellis-Monro, PC n/k/a Ogier, Rothschild & Rosenfeld, PC and fka Ellenberg, Ogier, Rothschild & Rosenfeld, PC
2.	
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. June, 2012	Partner/employees of Ogier, Rothschild, Rosenfeld & Ellis-Monro, PC; collection of fees generated prior to departure, full payout to filer by 12/31/13
2. May, 2010	Ellenberg, Ogier, Rothschild & Rosenfeld, PC PS Retirement Plan; 401k with former firm, no control
3. Jan. 2003	Smith, Gambrell & Russell, LLP Partner-Staff 401(k) PS Plan; 401k with former firm, no control
4. 1984	Sears Holding Pension Plan fka Kmart Pension Plan (see part VIII)

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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. 2012	Ogier, Rothschild, Rosenfeld & Ellis-Monro, PC n/k/a Ogier, Rothschild & Rosenfeld, PC; wages & accounts receivable collection; gross taxable income	\$197,000.00
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. 2012	Turner Services, Inc. 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. State Bar of Georgia Bankruptcy Section	11/29/12-11/30/12	Greensboro, Georgia	consumer & business bankruptcy CLE (panelist)	lodging cost, food
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.)*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. Associated Credit Union Accounts	A	Int./Div.	M	T					
2. Northwestern Mutual Whole Life	B	Dividend	L	T					
3. Path 2 College 529 Plan - TIAA CREF Balanced Option Plan	A	Dividend	J	T					
4. Brokerage Account #1 - Northwestern Mutual account									
5. American Funds Inc Fnd of Amr A	B	Dividend	K	T					
6. Brokerage Money Market		None	J	T					
7. New Perspective Fund - A	B	Dividend	J	T					
8. The Bond Fund of Amercia - A	A	Int./Div.	J	T					
9. The Growth Fund of America - A	B	Dividend	J	T					
10. The Investment Company of America - A	B	Dividend	K	T					
11. Washington Mutual Investors Fund - A	B	Dividend	K	T					
12. IRA #1 - Northwestern Mutual									
13. Brokerage Money Market		None	J	T					
14. New Perspective Fund - A	B	Dividend	J	T					
15. The Growth Fund of America - A	B	Dividend	J	T					
16. The Investment Company of Amercia - A	B	Dividend	J	T					
17. Washington Mutual Investors Fund - A	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 \$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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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. IRA #2 Northwestern Mutual IRA									
19. American Funds Inc Fnd of Amr A	B	Dividend	J	T					
20. Brokerage Money Market		None	J	T					
21. New Perspective Fund -A	B	Dividend	J	T					
22. The Bond Fund of America - A	A	Int./Div.	J	T					
23. The Investment Co. of America - A	B	Dividend	J	T					
24. Washington Mutual Investors Fund - A	B	Dividend	J	T					
25. Smith Gambrell & Russell LLP Partner Staff 401(k)		None	N	T					
26. -DFA US Large Cap Value III									
27. -Vanguard Growth Index Instl									
28. -DFA US Targeted Value I									
29. -Vanguard Mid-Cap Growth Index Inv									
30. -Vanguard Small Cap Growth Index Inv									
31. -DFA Emerging Markets Core Equity									
32. -DFA Int'l Small Company I									
33. -DFA Large Cap Int'l									
34. -DFA Int'l Real Estate Sec I									

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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. -DFA Real Estate Securities I									
36. -DFA Five Year Global Fixed Income									
37. -DFA Inflation - Protection Securities									
38. -DFA One Year Fixed Income I									
39. Time Warner Savings 401(k)	A	Int./Div.	M	T					
40. -Fidelity Capital Preservation					Closed	04/13/12	J		
41. -T. Rowe Price Large Cap Core Growth					Open	10/15/12	J		
42. -DFA Emrg Mkt Core Equity									
43. -Dodge & Cox stock									
44. -Fidelity Bond Index									
45. -Fidelity Diversified Bond									
46. -Fidelity Int'l Index									
47. -Fidelity S&P 500 Index									
48. -Fidelity Small Cap Blend									
49. -Fidelity Small Cap Index									
50. Ogier Rothschild Rosenfeld, PC 401k	B	Int./Div.	K	T					
51. -Vanguard Capital Oppty Fnd Admiral Shares									

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52. -Vanguard Extended Market Index Fnd Admiral Shares									
53. -Vanguard Global Equity Fnd									
54. -Vanguard High-Yield Corp Fnd Admiral									
55. -Vanguard Int'l Growth Fnd Admiral Shares									
56. -Vanguard Prime Money Market Fnd									
57. -Vanguard REIT Index Fnd Admiral Shares									
58. -Vanguard Selected Value Fnd									
59. -Vanguard US Growth Fnd Admiral Shares									
60. -T. Rowe Price Dividend Growth Fund									
61. -T. Rowe Price New Horizons Fnd									
62. - T. Rowe Price Int'l Stock Fnd									
63. Time Warner Stock Options		None	J	T	Sold (part)	8/6/12	J	D	
64. Accounts Receivable Ogier, Rothschild & Rosenfeld, PC	F		M	U					
65. US Treasury Bonds	A	Interest	J	T					
66. Guardian Life Ins. Co. of America whole life	D	Dividend	L	T					
67. Sears Holding Pension Plan		None	J	W					
68.									

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

II. Agreements:

Line 4: This agreement was inadvertently not included in initial disclosure filed in September, 2012 because I did not realize I had an interest in the former Kmart Pension Plan. I worked for Kmart from 1984-1989 and apparently vested in the pension plan. I received a one time buy out offer from Sears Holdings Pension Plan for my interest in the plan last fall. The buy out offer was \$5,671.72. I do not know how that equates to my interest in the plan, but I assume my interest is in the range of the buy out offer.

VII. Investments and Trusts:

Line 25: In my initial report, I reported the change in market value in the SGR 401(k) plan in column B(1). I now believe this was incorrect. No funds have been put into this plan since 2008 and a review of all statements indicates that the change in value is solely due to change in market price rather than income. Accordingly, in this report I have not reported any income

Line 63: Stock options were given to my husband as an employee benefit, he thus realized a gain equal to the sales price, however on a tax basis the options were exercised at a loss.

Line 64: As stated in Item III, my former firm is collecting my remaining accounts receivable from work performed prior to taking the bench. I received those collections in December, 2012. I will receive all remaining amounts collected in 2013 prior to December 31, 2013.

Line 67: See above regarding value.

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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/ **Barbara J. Ellis-Monro**

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
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Washington, D.C. 20544