

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Russell, David E.	2. Court or Organization Eastern District of California	3. Date of Report 03/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Recalled Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Bankruptcy Court 501 I Street, Suite 3-200 Sacramento, CA 95814		
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

- Trustee of Family Trust. Assets reported in Part VII
- Trustee of Trust for [REDACTED] [REDACTED] the trust became irrevocable and the assets were distributed and the trust closed in 2013.
-
-
-

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

-
-
-

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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.)*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. California Bankruptcy Forum	May 16th thru 19th, 2013	Paradise Point, San Diego, CA	Participation in Bankruptcy Programs for professionals	3 nights lodging and some 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.)*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. SMR IRA									
2. 1. American Electric Power Co	A	Dividend	J	T					
3. 2. Berkshire Hathaway Inc		None	J	T					
4. 3. BP PLC ADS	A	Dividend	J	T					
5. 4. Chico Fas Inc.	A	Dividend	J	T					
6. 5. Clorox Co De	A	Dividend	J	T					
7. 6. Emerson Electric Co	A	Dividend	J	T					
8. 7. General Mills Inc.	A	Dividend	J	T					
9. 8. Hawaiian Electric Ind	A	Dividend	J	T					
10. 9. Nestle Spon ADR Reg Shr	A	Dividend	J	T					
11. 10. Pepsico Inc	A	Dividend	J	T					
12. 11. PG&E Corporation	A	Dividend	J	T					
13. 12. Plum Creek Timber	A	Dividend	J	T					
14. 13. Procter & Gamble	A	Dividend	J	T					
15. 14. Target Corp	A	Dividend	J	T					
16. 15. M/S Bank	A	Interest	J	T					
17. DER IRA (see Part VIII)									

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 = \$250,000,001 - \$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. 1. M/S Bank	A	Interest	K	T					
19. 2. Alerian MLP ETF	A	Distribution	J	T	Buy (add'l)	03/21/13	J		
20. 3. CPFL Energia S.A.	A	Dividend	J	T					
21. Federated Prudent Bear Instl	A	Dividend			Buy	01/29/13	J		
22. Federated Prudent Bear					Sold (part)	03/21/13	J		
23. Federated Prudent Bear					Sold	09/25/13	J		
24. 4. Health Care Sel Sect SPDR FD	A	Dividend	J	T	Buy	03/21/13	J		
25. 5. Industrial Sel Sect SPDR FD	A	Dividend	J	T	Buy	03/21/13	J		
26. 6. ISHARES Cohen & Steers REIT ETF	A	Dividend	J	T	Buy	03/21/13	J		
27. 7. ISHARES High Divd ETF	A	Dividend	J	T	Buy	03/21/13	J		
28. 8. ISHARES Intl Sel Divd ETF	A	Dividend	J	T	Buy	09/25/13	J		
29. 9. ISHARES NASDAQ Biotech ETF	A	Dividend	J	T	Buy	03/21/13	J		
30. ISHARES Barclays Agg Bd Fd fka Lehmans Aggregate	A	Dividend			Sold	03/21/13	K		
31. 10. ISHARES S&P Midcap 400 Index	A	Dividend	K	T	Buy (add'l)	03/21/13	J		
32. 11. ISHARES S&P Smallcap 600 Index	A	Dividend	K	T					
33. 12. ISHARES US Technology ETF	A	Dividend	J	T	Buy	03/21/13	J		
34. AmericanEuroPacific Growth Fund 2		None			Sold	03/21/13	J		

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35. American GR FD of America F2		None			Sold	03/21/13	J		
36. 13. S & P 500 Index FD	A	Dividend	J	T	Buy	03/21/13	J		
37. 14. AQR Managed Futures Strategy I	A	Dividend	J	T	Buy	03/21/13	J		
38. 15. Columbia Acorn Z	A	Dividend	J	T	Sold (part)	03/21/13	J		
39. DWS Short Duration Plus A	A	Dividend			Sold	03/21/13	K		
40. 16. Eaton Vance Diver Cur Inc I	A	Dividend	J	T	Buy	03/21/13	J		
41. 17. First Eagle Global I	A	Dividend	J	T	Sold (part)	03/21/13	J		
42. 18. First Eagle Gold I	A	Dividend	J	T					
43. Ing Global Real Estate	A	Dividend			Sold	03/21/13	K		
44. 19. Goldman Sachs N-11 Equity	A	Dividend	J	T	Buy	03/21/13	J		
45. 20. Good Harbor US Tactical Core I		None	J	T	Buy	11/15/13	J		
46. 21. Mainstay High Yield Opport I	A	Dividend	J	T	Buy	03/21/13	J		
47. Nataxis Loomis Say Inv Gr Bd Y class Y share	A	Dividend			Sold	03/21/13	K		
48. 22. Oppenheimer Intl Sm Com Y	A	Dividend	J	T	Buy	03/21/13	J		
49. 23. Oppenheimer Sr Floating Rate Y	A	Dividend	J	T	Buy	03/21/13	J		
50. 24. Pimco Emerging Local Bd P	A	Dividend	J	T	Buy	03/21/13	J		
51. Pimco Real Return	A	Dividend			Sold	03/21/13	J		

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52. 25. Pioneer Mlti Ast Ult Sht Inc Y	A	Dividend	K	T	Buy	03/21/13	K		
53. 26. Pioneer Strategic Income Y	A	Dividend	K	T	Buy	03/21/13	K		
54. 27. Prudential Total Return Bd Z	A	Dividend	K	T	Buy	03/21/13	K		
55. 28. Templeton Global Bd Fd Adv	A	Dividend	J	T	Buy	03/21/13	J		
56. Wisdom TreeTrust Emerging Mkt Eqt	A	Dividend			Buy	03/21/13	J		
57. Wisdom Tree Trust Emergiling Mkt Eqt					Sold	11/15/13	J		
58. CASH FUNDS									
59. 1. American Express Savings	A	Interest	K	T					
60. 2. Golden 1 Credit Union	A	Int./Div.	K	T					
61. 3. Safe Credit Union	A	Int./Div.	J	T	Open	08/02/13	J		
62. 3. Schools Financial Credit Union	A	Int./Div.	K	T					
63. Tri Counties Bank		None			Closed		J		See Part VIII
64. FAMILY TRUST									
65. 1. M/S Bank & Money Mkt Fds	A	Interest	K	T					See L 97 of 2012 Repr
66. 2. 3M Company	A	Dividend	J	T					
67. 3. Abbott Laboratories	A	Dividend	J	T					
68. 4. Abbieve Inc Com	A	Dividend	J	T	Spinoff (from line 67)		J		12/31/12 stk dividemd

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69. 5. Altria Group Inc	A	Dividend	J	T					
70. 6. American Tower REIT Com	A	Distribution	J	T	Buy	03/15/13	J		
71. 7. Anadarko Petroleum	A	Dividend	J	T					
72. 8. Analg Capital Mgmnt Inc	A	Dividend	J	T					
73. 9. Arthur J. Gallagher	A	Dividend	J	T					
74. 10. AT&T	A	Dividend	J	T					
75. 11. Atmos Energy	A	Dividend	J	T					
76. 12. Berkshire Hathaway B		None	K	T					See Part VIII.
77. 13. Catapillar Inc	A	Dividend	J	T					
78. 14. Celgene Corp		None	J	T	Buy	03/15/13	J		
79. 15. Cincinnati Financial	A	Dividend	J	T					
80. 16. Conoco Phillips	A	Dividend	J	T					
81. 17. Dow Chemical Company	A	Dividend	J	T					
82. 18. Duke Energy Corp	A	Dividend	K	T					
83. 19. Eli Lilly & Co	A	Dividend	J	T					
84. 20. Frontier Communications Corp	A	Dividend	J	T					
85. 21. Google Inc-Cl A		None	J	T					

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86. 22. Health Care REIT	A	Dividend	J	T					
87. 23. Home Depot Inc	A	Dividend	J	T					See Part VIII
88. 24. Johnson & Johnson	A	Dividend	J	T					
89. 25. Kimberly Clark Corp	A	Dividend	J	T					
90. 26. Kraft Food Group Inc Com	A	Dividend	J	T					
91. 27. Lowes Companies Inc	A	Dividend	J	T					
92. 28. MercadoLibre Inc	A	Dividend	J	T					
93. 29. Mondalez Intl Inc Com	A	Dividend	J	T					
94. 30. Netgear Inc		None	J	T					
95. 31. Nextera Energy Inc Com	A	Dividend	J	T					
96. 32. Novartis AG ADR	A	Dividend	J	T					
97. 33. Otter Tail Corp	A	Dividend	J	T					
98. 34. Phillip Morris Intl Inc	A	Dividend	J	T					
99. 35. Phillips 66 Com	A	Dividend	J	T					
100. 36. Rackspace Hosting Inc Com		None	J	T					
101. 37. Sohu.Com Inc		None	J	T					See Part VIII.
102. 38. Spectra Energy Corp	A	Dividend	J	T					

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103. 39. Sysco Corp	A	Dividend	J	T					
104. 40. Time Warner Cable Inc New	A	Dividend	J	T					
105. 41. Time Warner Inc New	A	Dividend	J	T					
106. 42. TJX COS Inc New	A	Dividend	L	T					
107. 43. USG Corp New		None	K	T					
108. 44. Verizon Communications	A	Dividend	J	T					
109. 45. Waste Connections		None	J	T					
110. 46. Barcap IPath DJ UBS Comm Indx		None	J	T					See Part VIII
111. 47. Blackrock Cal Muni Inc Trust	A	Int./Div.	J	T					
112. 48. IShares MSCI EAFE ETF	A	Dividend	J	T					
113. 49. IShares Emerging Mkts ETF	A	Dividend	J	T					
114. 50. SPDR S & P Emerging Asia Pacif	A	Dividend	J	T					
115. 51. SPDR S & P Intl Utilities Sect	A	Dividend	J	T					
116. 52. The Technology Sel Sec SPDR FD	A	Dividend	K	T					
117. 53. California St Genl Oblg Bds	A	Interest	K	T					
118. 54. Columbia Select Smllr Cp Val A	A	Dividend	J	T					
119. 55. Franklin CA Tax Free Income Fd	A	Dividend	J	T					

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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	
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)
120. 56. Franklin Mutual Global Discovery A	A	Dividend	J	T					
121. 57. Thornburg CA Ltd Term Muni A Fd	A	Dividend	J	T					
122. 58. Rental Property, Lincoln, CA	E	Rent	N	R	Buy	05/30/13	N		Paid \$316M to Sharon Baker
123. SECONDARY TRUST									See Part VIII.
124. 1 M/S Bank A/c	A	Interest	J	T	Distributed (part)	01/29/13	L		Transferr to Beneficiaries
125. M/S Bank A/c					Distributed (part)	02/28/13	M		Transfer to Beneficiaries
126. M/S Bank A/c					Distributed (part)	04/30/13	N		Transfer to Beneficiaries
127. M/S Bank A/c					Distributed (part)	06/12/13	K		Transfer to Beneficiaries
128. Hawaiian Electric Ind		None			Sold	02/06/13	M	D	
129. California St Var Purpose Bond	A	Interest			Sold	04/09/13	K		Loss on sale
130. 6. Franklin CA Tax Free Income Fd, Class A	A	Dividend			Sold	04/05/13	J		Loss on sale
131. 7. Hartford Fortis Masters VA	A	Interest			Redeemed	12/31/12	L	E	
132. 8.. Rental Property, San Lorenzo, CA	C	Rent			Sold	04/03/13	N	D	

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, line 17. The DER IRA is managed by our broker. We have limited control over the investments.

Part VII, line 63. This little used checking a/c was closed early in 2013. Can't locate the date, but the amount was less than \$300 when cloaed and for most of 2012.

Part VII, line 76. Exchange-Traded and Closed End Funds (e.g., Barcap & Blackrock) start at line 110 in this report due to broker's change in its Statements.

Part VII, line 87. Ishares start at line 112 in this report.

Part VII, line 101. SPDR funds start at line 114 in this report.

Part VII, line 123. This trust was closed by the end of June 2013, but some funds were not distributed until early in 2014.

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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.

David E. Russell

Signature: s/ **David E. Russell**

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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