

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) Alley, Frank	2. Court or Organization U. S. Bankruptcy Court, District of Oregon	3. Date of Report 08/31/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 Courthouse 405 E. 8th Ave. Suite 2600 Eugene, OR 97401		
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.	Trustee	Trust created 12/2003
2.	Partner	Laurel St. Land. Co., Medford, OR
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.

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.)*

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.

Oregon State Bar

4/24/2014-4/26/2014 ~~7/7/2014~~ 9/2/2016

CLE (Faculty and planner)

travel and lodging

2.

State Bar of MontanaInst. of
Continuing Legal Education
of Georgie

6/8/2016-6/10/2016

Atlanta, GA

CLE (Faculty)

travel and lodging

3.

Oregon State Bar

9/16/2016-9/17/2016

Hood River, OR

CLE (faculty)

travel and lodginig

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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Washington Mutual Bank or successor (JPMorgan Chase)	Mortgage on Laurel St. Land property, Medford, OR	L
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. Umpqua Bank Savings	A	Int./Div.	J	T					
2. Umpqua Bank Checking			J	T					
3. Umpqua Bank "Money Market" Checking account	A	Int./Div.	L	T					
4. US Bank Money Market/Checking	A	Int./Div.	J	T					
5. Fidelity Mutual Cap. Appreciation fund	A	Distribution	J	T					
6. Fidelity Adv.Diversified Fund	B	Distribution	N	T					
7. First Amerien Equity Income Fund	B	Dividend	M	T					
8. First Amerien Midcap Growth	A	Dividend	M	T					
9. First American High Income (Bond)	E	Int./Div.	N	T					
10. T Rowe Price Midcap Growth	B	Dividend	M	T					
11. T Rowe Price Int'l Growth	B	Dividend			Sold	08/01/16	K	C	
12. Alliant Energy Corp.	A	Dividend	K	T					
13. American Electrical Power Corp.	A	Dividend	J	T					
14. Chevron Corp.	A	Dividend	L	T					
15. Conoco Phillips Corp.	A	Dividend	J	T					
16. Duke Energyu Corp.	A	Dividend	K	T					
17. Exxon Mobil corp.	A	Dividend	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 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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	L ~\$50,001 - \$100,000 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. Johnson & Johnson	A	Dividend	K	T					
19. Marathon Oil Corp.	A	Dividend	K	T					
20. McDonalds Dorp.	A	Dividend	K	T					
21. Pepsico	A	Dividend	K	T					
22. Praxair, Inc.	A	Dividend	K	T					
23. 3M Corp.	A	Dividend	K	T					
24. United Parcel Service	A	Dividend	K	T					
25. Waste Management Corp.	B	Dividend	K	T					
26. US Treasury Bond	B	Interest	K	T					
27. Boeing Capital Corp Bond	B	Interest	K	T					
28. US treasury Note 8/15/12	B	Interest	K	T					
29. Bank of America Note	B	Interest	K	T					
30. Goldman Sachs Group note	B	Interest	K	T					
31. Royal Bank of Scotlandf	B	Interest	K	T					
32. FLHMC	A	Interest	K	T					
33. Metlife Inc. Note	B	Interest	K	T					
34. Excidet Technologies Warrant	A	Interest	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	
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35. First America Prime Money Market	D	Interest	O	T	Buy (add'l)	03/31/16	J		
36.					Buy (add'l)	06/30/16	J		
37. Johnson Controls	A	Dividend	J	T	Buy (add'l)	04/29/16	K		
38. Nuveen Divident Value FAQLX	A	Dividend	J	T	Buy (add'l)	07/29/16	K		
39. Nuveen Santa Barbara Div Growth NSBRX	A	Dividend	J	T	Sold (part)	07/30/16	K		
40. T Rowe Price Blue Chip Growth TRBCX	A	Dividend	J	T	Sold	08/31/16	L		
41. TFS Market Neutral fund TFSMX	A	Dividend	J	T	Buy (add'l)	08/31/16	L		
42. Nuveen High Yield Muni Bond NHMRX	A	Dividend	M	T	Sold (part)	08/31/16	L		
43.					Buy (add'l)	09/30/16	L		
44. Nuveen Inflation Pro Fixed Income Fund	C	Interest	L	T	Sold (part)	07/07/16	J		
45. Oppenheimer Com. Fixed Income	C	Dividend	L	T					
46. Pimco Total Return Fund	D	Interest	K	T					
47. Nuveen Large Cap Growth Fund	A	Int./Div.			Sold	09/14/16	K	C	
48. Vanguard Equity Income VEIRX	A	Int./Div.	J	T	Buy (add'l)	08/04/16	L		
49.					Sold (part)	12/27/16	J		
50. Vanguard Strategic Equity VSEQX	A	Int./Div.	J	T	Sold (part)	12/27/16	J		
51. Aberdeen Fds Emergn Mkt	A	Int./Div.	J	T					

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52. Isharesu Edge Msci Min Vol UWSA		None			Buy	07/13/16	K		
53.					Sold	09/14/16	K		
54. Cambiar Int'l Equity fund		None			Sold	08/02/16	J		
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									
63. Trust 11/03 (ffiler is trustee)				W					
64. Pacific Continental Bank	A	Int./Div.	J	T					
65.									
66. Willis group	A	Dividend	J	T					
67. Halyard Health	A	Dividend	J	T					
68. ITT Corp	A	Dividend	J	T					

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69. International Paper	A	Dividend	J	T					
70. Kimberly Clark	A	Dividend	J	T					
71. Kroger Co.	A	Dividend	J	T					
72. Mylan, Inc.	A	Dividend	J	T					
73. Proctor & Gamble	A	Dividend	J	T					
74. Rio Tinto PLC ADR	A	Dividend	J	T					
75. Vectrus inc.	A	Dividend	J	T					
76. VISA Inc	A	Dividend	J	T					
77. Xylem, Inc	A	Dividend	J	T					
78.									

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

Investments, l. 36: Cambiar Equity was acquired in 2015 but omitted from that year's report. Total value of purchase was \$11,330.

Asset of the [REDACTED] Trust 11/2003 consists solely of old furniture instorage. Value is less than \$10,000.

Part VII line 3 : "Money Market" is the Bank's description of a standard checking account.

Johnson Controls, Nuveen Divident Value, Nuveen Santa Barbara Div Growth, T Rowe Price Blue Chip Growth, TFS Market entral fund, and Nuveen High Yield were inadvertently omitted from first report; they have been added here at Part VII lines 37-42

Part VII line 50: Vanguard Strategic Equity VSEQX was acquired on 11/2/12, and inadvertantly omitted from prior reporst. Acquisition value was \$8,000.

Part VII, line 5: this report gives the full name of Fidelity Mutual Cap. Inv. Fund. This asset was disclosed under that name in the 2015 report.

I am retiring, effective 8/31/2017. A final report will be filed shortly.

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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/ **Frank Alley**

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