

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 01/16/2014
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 01/01/2013 to 12/31/2013
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.		

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

TICE, Jr., Douglas O.

Date of Report

01/16/2014

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. 1/10/13	Matthew Bender & Co. Inc. - Author's Fees	\$240.00
2. 1/18/13	Richmond Discoveries - Author's Royalties	\$371.00
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. No. Va. Bankruptcy Bar Assoc	02/20-21/13	Falls Church, VA	Bar Assoc Program Speaker	food & lodging - CLE Speaker for subject matter
2. W&M Moot Ct Competition	02/15-16/13	Williamsburg, VA	W&M Moot Court Board	food & lodging
3. Tidewater Bankruptcy Bar Association	02/21-22/13	Virginia Beach, VA	Bar Assoc Program	food & lodging - CLE Speaker
4. National Conference of Bankruptcy Judges	10/29-11/02/13	Atlanta, GA	Committee & Annual Board Meeting	transportation, lodging, food
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

TICE, Jr., Douglas O.

Date of Report

01/16/2014

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.	Northern Virginia Bankruptcy Bar Association	One Night Lodging & Meals at the Inn at Little Washington, VA (Retirement Gift)	\$1,750.00
2.	Employees/Retirees of U.S. Bankruptcy Court - EDVA	Gift Card in Commemoration of my retirement on 12/31/13	\$500.00
3.	Henry Wingate, Portrait Artist	Two preliminary sketches of my retirement portrait given September 2013	\$400.00
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

TICE, Jr., Douglas O.

Date of Report

01/16/2014

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. MoneyMarketAcct Sun Trust Bank, Richmond VA	B	Interest	L	T					
3. Ridgeworth Prime Quality MoneyMarket Acct		None	J	T					
4. TransAmerica Life Ins. Co. Annuity		None	M	T					
5. Manulife Financial Corp. Common Stock	A	Dividend	K	T					
6. RBC Wealth Management Brokerage MoneyMktAcct	A	Int./Div.	J	T					
7. Met Life Common Stock	A	Dividend	J	T					
8. Alliant Tech Systems Common Stock		None	J	T					
9. IRA - Mass. Investors Trust	A	Dividend	K	T					
10. TransAmerica Life Occidental whole life ins policy	A	Interest	K	T					
11. John Hancock Life Ins (USA) whole life ins	A	Dividend	J	T					
12. Northwestern Mutual whole life ins policy	A	Interest	J	T					
13. Trust #1 [See Note, Part VIII]	E	Int./Div.	O	T					
14. --Met Life Annuity					Buy (add'l)	01/04/12	M		
15. --Money Market Acct First Community Bank									
16. --Discover CD									
17. -VA Commonwealth Bank CD					Closed	01/28/13			

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less O = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 P1 = \$1,000,001 - \$5,000,000	L = \$50,001 - \$100,000 P2 = \$5,000,001 - \$25,000,000	M = \$100,001 - \$250,000
3. Value Method Codes	N = \$250,001 - \$500,000 (See Column C2)	P3 = \$250,000,001 - \$50,000,000	Q = Appraisal R = Cost (Real Estate Only) S = Assessment U = Book Value	P4 = More than \$50,000,000 T = Cash Market W = Estimated	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

TICE, Jr., Douglas O.

Date of Report

01/16/2014

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. -- Exxon Mobil Common Stock									
19. First Capital Bank CD					Matured	08/01/13			

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

TICE, Jr., Douglas O.

Date of Report

01/16/2014

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

Part V: All Gifts were given in commemoration of my retirement.

Part VII, Lines 13 -19. My wife is a trustee and a beneficiary of Trust #1. I have no interest in the trust.

Part VII, Line 19. First Capital Bank CD, trust asset, inadvertently omitted in previous report.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

TICE, Jr., Douglas O.

Date of Report

01/16/2014

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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544