

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) Rice, David E.	2. Court or Organization U.S. Bankruptcy Court, District of MD	3. Date of Report 05/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 101 W. Lombard Street Chambers 9636 Baltimore, MD 21201		
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.	President	Egenton Home, Inc.
2.	Trustee	Trust ☐
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. 1989	Venable LLP Partnership Agreement/Retirement Plan with Former Law Firm
2. 1989	Venable LLP 401(k) Retirement Plan with Former Law Firm and Charles Schwab Corp.
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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. 2012	Venable LLP (Retirement/401(k) distribution)	\$3,000.00
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.)*

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. Bankruptcy Bar Association for the District of Maryland	5/4-5/5-2012	Annapolis, MD	Seminar	Meals, hotel
2. Virginia CLE	9/13-9/14-2012	Charlottesville, VA	Seminar	Meals, hotel
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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.	U.S. Dept. of Education	Student loans	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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. PNC Bank Accounts	A	Interest	N	T					
2. Pentagon FCU Account	A	Interest	J	T					
3. APG FCU Account	A	Interest	J	T					
4. USAA Federal Accounts	B	Interest	K	T					
5. New Perspective Mutual Fund	A	Dividend	K	T					
6. McCormick Common (MKC)	A	Dividend	K	T					
7. PNC Bank IRA's CD's	A	Interest	K	T					
8. TD Ameritrade Money Market Account	A	Interest	J	T					
9. Facebook, Inc. (FB)		None	J	T	Buy	05/29/12	J		
10. Groupon, Inc. (GRPN)		None	J	T	Buy	06/12/12	J		
11. Brokerage Account #1									
12. Artisan Midcap Value Inv. Fund (ARTOX)	A	Dividend	J	T	Buy	06/08/12	J		
13.					Buy (add'l)	08/24/12	J		
14.					Sold (part)	11/09/12	J	A	
15. Blackrock Inflation Prot. Bond A Fund (BPRAX)	A	Dividend	J	T	Buy	08/24/12	J		
16.					Sold (part)	11/09/12	J	A	
17. PIMCO Emerging Mkts Bond A Fund (PAEMX)	A	Dividend	K	T	Buy	06/08/12	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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 I (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.					Buy (add'l)	08/24/12	J		
19.					Sold (part)	11/09/12	J	A	
20. EV Income Fund of Boston A (EVIBX)	A	Dividend	K	T	Buy	08/24/12	K		
21.					Sold (part)	11/09/12	J	A	
22. Ivy Mid Cap Growth A Fund (WMGAX)	A	Dividend	J	T	Buy	06/08/12	J		
23.					Buy (add'l)	08/24/12	J		
24.					Sold (part)	11/09/12	J	A	
25. Invesco Premier Inst. Money Mkt Fund	A	Dividend	J	T	Buy	06/22/12	J		
26. Citibank deposit account	A	Interest	L	T					
27. IBM Common (IBM)	A	Dividend	K	T					
28. Invesco Van Kampen Comstock Fund (ACSTX)	A	Dividend	K	T	Sold (part)	06/08/12	J	A	
29.					Sold (part)	11/09/12	J	A	
30. Cambiar Small Cap Fund (CAMSX)	A	Dividend	J	T	Sold (part)	06/08/12	J	A	
31.					Buy (add'l)	11/09/12	J		
32.					Sold (part)	08/24/12	J	A	
33. AllianceBernstein Small Cap Growth Fund (QUAYX)	A	Dividend	J	T	Buy (add'l)	06/08/12	J		
34.					Buy (add'l)	11/09/12	J		

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 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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)
35.					Sold (part)	08/24/12	J	A	
36. Columbia Select Large Cap Growth Fund (ELGAX)	A	Dividend	L	T	Sold (part)	06/08/12	J	A	
37.					Buy (add'l)	11/09/12	J		
38.					Sold (part)	08/24/12	J	A	
39. Dreyfus Emerging Markets Fund (DRFMX)	C	Dividend	K	T	Buy (add'l)	06/08/12	J		
40.					Sold (part)	11/09/12	J	A	
41. Western Asset Money Market Fund (LMTXX)	A	Dividend			Sold (part)	06/13/12	J	A	
42.					Sold (part)	06/22/12	J	A	
43. Nuveen Tradewinds International Value Fund (NAIGX)	B	Dividend	K	T	Buy (add'l)	08/24/12	J		
44.					Buy (add'l)	11/09/12	J		
45.					Sold (part)	06/08/12	J	A	
46. Pimco Foreign Bond Fund (PFOAX)	A	Dividend	J	T	Sold (part)	06/08/12	J	A	
47.					Sold (part)	08/24/12	J	A	
48. Pimco Total Return Fund (PTTDX)	B	Dividend	J	T	Sold (part)	08/24/12	K	A	
49.					Sold (part)	11/09/12	K	B	
50. IRA #1	D	Dividend	O	T					
51. iShares Barclays Short Treasury Bond Fund (SHV)					Buy	08/24/12	J		

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 7 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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)
52. SPDR Barclays Capital High Yield Bond ETF (JNK)					Buy	08/24/12	K		
53. Dreyfus Liquid Assets Inc. (now MSLiquidAssetFund)									
54. Vanguard Mid-Cap Value Index Fund (VOE)					Sold (part)	08/29/12	J	A	
55. Cambiar Opportunity Fund (CAMWX)					Buy (add'l)	08/24/12	J		
56. Blackrock Inflation Protected Bond Portfolio (BPRIX)					Sold (part)	08/29/12	J	A	
57. Cohen and Steers Realty Shares Fund (CSRSX)					Sold (part)	08/29/12	J	A	
58. Franklin Templeton Total Return Fund (FBDAX)					Sold (part)	08/29/12	K	A	
59. Godman Sachs Absolute Return Fund (GJRTX)					Sold (part)	08/29/12	J	A	
60. Ivy Mid Cap Growth Fund (IYMIX)					Sold (part)	08/29/12	J	A	
61. Janus Overseas Fund (JIGFX)					Buy (add'l)	05/21/12	J		
62. Janus Overseas Fund (JIGFX)					Buy (add'l)	08/24/12	J		
63. JPMorgan Dynamic Small Cap Growth Fund (JDSCX)					Sold (part)	08/29/12	J	A	
64. Mainstay Large Cap Growth Fund (MLAIX)					Sold (part)	08/29/12	J	A	
65. Pimco Emerging Local Bond Fund (PELPX)					Sold (part)	08/29/12	J	A	
66. Pimco Commodity Real Return Strategy Fund (PCRPX)					Buy (add'l)	05/21/12	J		
67.					Buy (add'l)	08/24/12	J		
68. Royce Premier Fund (RYPRX)					Buy (add'l)	08/24/12	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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)
69. Guggenheim ManFutStratFD (RYMFX)					Buy (add'l)	08/24/12	J		
70. Templeton Global Bond Fund (TGBAX)					Sold (part)	08/29/12	J	A	
71. Wells Fargo Adv Em Markets Growth Fund (EMGYX)					Buy (add'l)	05/21/12	J		
72.					Buy (add'l)	08/24/12	J		
73. IRA #2	B	Interest	M	T					
74. GE Cap Ret Bank (CD)					Buy	09/07/12	K		
75. Sovereign Bank (CD)					Buy	09/07/12	K		
76. Citibank deposit account									
77. GE Money Bank (CD)					Matured	06/08/12	K		
78. Ally Bank (CD)					Matured	12/17/12	K		
79. CIT Bank (CD)					Matured	12/17/12	K		
80. Trust #1	C	Int./Div.	M	T					
81. Comerica Bank deposit account									
82. MBIA Bond									
83. Duke Energy Common (DUK)									
84. Frontier Comm Common (FTR)									
85. Spectra Energy Common (SE)									

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 - \$500,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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)

86. American High Income Trust CL A Fund (AHITX)									
87. Calamos Growth & Income Fund B (CVTYX)									
88. Capital Income Builder Fund A (CAIBX)									
89. Oppenheimer Rochester Natl Mun A Fund (ORNAX)									
90. Oppenheimer SR Floating Rate A Fund (OOSAX)									
91. Washington Mutual Invs FDCLA Fund (AWSHX)									
92. Kinder Morgan Energy Partners (KMP)									
93. Mineral Rights, Dimmit County, TX		None	K	W					
94. Mineral Rights, Canadian County, OK	A	Royalty	K	W					
95. Mineral Rights, Franklin County, AR		None	K	W					
96. Mineral Rights, Lincoln County, OK		None	K	W					
97. Mineral Rights, Pontotoc County, OK		None	K	W					

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 10 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Rice, David E.

Date of Report

05/14/2013

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/ David E. Rice

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