

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) Wallace, Mark S.	2. Court or Organization United States Bankruptcy Court, Central Dist. of California	3. Date of Report 05/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge - Active	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 411 West Fourth Street Santa Ana, CA 92701		
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	Revocable Trust #1
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. 1991	401(k) Profit Sharing Plan of Stutman, Treister & Glatt PC (self directed, otherwise no control)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Wallace, Mark S.

Date of Report

05/06/2014

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.		
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. Association of Insolvency and Restructuring Advisors	June 4-6, 2013	Chicago, IL	Annual conference	Transportation, meals, lodging, 5k run, Chocolate tour
2. National Conference of Bankruptcy Judges	October 30 - November 2, 2013	Atlanta, GA	Annual conference	Meals, lodging, 5k run
3. American Bankruptcy Institute	February 20-22, 2013	Las Vegas, NV	Valcon conference	Transportation, meals, lodging
4. American Bar Association Section of Taxation	May 9-11, 2013	Washington, D.C.	May Meeting	Transportation, meals, lodging
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Wallace, Mark S.

Date of Report

05/06/2014

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.			
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.	Bank of America	Credit card	J
2.	Wells Fargo Advisors	Liabilities on short sale transactions	L
3.	Chase Bank	Credit card	J
4.	ADM Investor Services, Inc.	Liabilities on commodity and futures positions in excess of cash posted for margin	J
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Wallace, Mark S.

Date of Report

05/06/2014

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. Wells Fargo Advisors Money Market Fund	A	Dividend	L	T					
2. US Treasury Bond	A	Interest	K	T					
3. SDD units	A	Distribution	J	T					
4. SRS units	A	Distribution	J	T					
5.					Buy (add'l)	06/20/13	J		
6. Wells Fargo Bank Deposit (x)	A	Interest	J	T					
7. ABX common stock	A	Dividend	J	T					
8. American Century Capital Preservation Fund	A	Dividend	K	T					
9. American Century Global Gold Fund	B	Dividend	J	T					
10. American Capital Capital Preservation Fund	A	Dividend	J	T					
11. UBS USA Deposit Account	A	Interest	M	T					
12. XOM common stock	A	Dividend	J	T					
13. PWE units	A	Dividend	J	T					
14. GDX units	A	Distribution	J	T					
15. NLY units	B	Dividend	J	T					
16. ABX common stock	A	Dividend	J	T					
17. COP common stock	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 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	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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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Wallace, Mark S.

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	(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. 100 PSX	A	Dividend	J	T					
19. ECA common stock	A	Dividend	J	T					
20. iShares TIPs Bond Fund	A	Distribution	K	T					
21. Loomis Sayles Investment Grade Bond Fund	A	Distribution			Sold	6/20/13	K	D	
22. US Treasury obligations	B	Interest	M	T					
23.					Sold (part)	01/17/13	K	A	
24.					Sold (part)	03/22/13	K	A	
25.					Sold (part)	04/30/13	K	A	
26.					Redeemed (part)	03/31/13	K		
27. Federated Prudent Bear Fund	A	Distribution	L	T					
28. PHYS units		None	J	T					
29. Physical gold		None	L	T					
30. US Double Eagle coins		None	M	T					
31. Physical silver		None	J	T					
32. Bank of America savings account	A	Interest	J	T					
33. Bank of America checking account	A	Interest	J	T					
34. Union Bank checking account	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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35. Chase Bank checking account	A	Interest	J	T					
36. Chase Bank savings account	A	Interest	J	T					
37. VXX units	A	Distribution	J	T					
38. SDD units	A	Distribution	J	T					
39. ABX common stock	A	Dividend	J	T					
40. XOM common stock	A	Dividend	J	T					
41. US Treasury obligations	A	Interest	K	T					
42.					Sold (part)	06/20/13	K	D	
43. Federated Prudent Bear Fund	A	Distribution	K	T					
44. Vanguard Ginnie Mae Fund	A	Distribution	K	T					
45. Vanguard Inflation Index Fund	A	Distribution	K	T					
46. Rydex Inverse S&P500x Strategy Fund	A	Distribution	K	T					
47. American Century Capital Preservation Fund	A	Distribution	L	T					
48. UBS U.S. deposit account	A	Distribution	K	T					
49. 200 GG	A	Dividend	J	T	Buy	06/20/13	J		
50. US. Treasury obligations	A	Interest	K	T					
51. Dreyfus 100% USTreasury Money Market Fund	A	Distribution	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Wallace, Mark S.

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52. Fidelity US Treasury Money Market Fund	A	Distribution	L	T					
53. Rydex US Government Money Market Fund	A	Distribution	K	T					
54. US Bank Variable Rate Account	A	Interest	L	T					
55. ADM Investor Services	A	Distribution	J	T					
56. US Savings Bonds	A	Interest	K	W					
57. Northwestern Mutual Life Insurance Policy	A	Dividend	K	W					
58. 200 CXA units	A	Distribution			Sold	06/20/13	J	A	
59. U.S. Treasury obligations (x)	B	Interest	M	T					
60. 500 CHK	A	Dividend			Sold	11/15/13	J	A	
61. 100 PNRA		None	J	T					
62. 1000 CORT	A	Dividend	J	T					
63. 700 SWIR	A	Dividend	K	T	Buy	11/15/13	J		
64. 50 SAM		None	J	T	Sold	06/19/13	J		
65. 5 December 2013 Eurodollars		None	J	T					
66.					Buy	07/17/13	J		
67.					Buy	10/25/13	J		
68. Prudent Bear Fund	A	Distribution	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

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Date of Report

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69. 20 PCLN		None	J	T			J		
70. 400 NEM	A	Dividend	K	T					
71. BGEIX	A	Distribution	K	T					
72. 1 April natural gas		None	J	T					
73.					Sold	02/26/13	J		
74. TBT units		None	J	T	Sold (part)	07/29/13	J	B	
75.					Sold	07/29/13	J	A	
76. SDD units	A	Distribution	J	T					
77.					Sold	07/29/13	J	A	
78. 2 March oats		None	J	T					
79.					Buy	01/09/13	J		
80. 1 March dollar index		None	J	T					
81.					Sold	03/13/13	J	B	
82. 1 April natural gas		None	J	T					
83.					Sold	02/26/13	J		
84. 1 March mini Silver		None	J	T					
85.					Sold	02/26/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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86. 1 June eMini S&P		None	J	T	Sold	02/15/13			
87.					Buy	04/25/13	J		
88. 1 October natural gas		None	J	T	Buy	02/26/13			
89.					Sold	07/26/13	J		
90. 1 July silver		None	J	T	Buy	02/26/13			
91.					Sold	03/18/13	J		
92. 1 June Australian dollar		None	J	T	Sold	04/02/13			
93.					Buy	05/14/13	J	D	
94. 40 SGOL		None	J	T	Buy	04/10/13	J		
95. 100 Newmont Mining	A	Dividend	J	T	Buy (add'l)	04/10/13	J		
96. 1 June eMini S&P		None	J	T	Sold	05/07/13			
97.					Buy	05/08/13	J		
98. 1 September wheat		None	J	T	Buy	05/14/13			
99.					Sold	05/16/13	J		
100. 1 October feeder cattle		None	J	T	Sold	05/14/13			
101.					Buy	09/30/13	J		
102. 1 June dollar index		None	J	T	Buy	03/13/13			

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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103.					Sold	06/11/13	J		
104. 2 September dollar indexes		None	J	T	Buy	06/11/13			
105.					Sold	09/13/13	J		
106. 1 June eMini S&P		None	J	T	Sold	05/15/13			
107.					Buy	05/17/13	J		
108. 1 June eMini S&P		None	J	T	Sold	05/23/13			
109.					Buy	06/21/13	J	B	
110. 1 September eMini S&P		None	J	T	Sold	06/21/13			
111.					Buy	07/15/13	J		
112. 1 December corn		None	J	T	Buy	06/21/13			
113.					Sold	07/17/13	J		
114. 2 December dollar indexes		None	J	T	Buy	09/12/13			
115.					Sold (part)	10/25/13	J		
116.					Sold	12/10/13	J		
117.									
118.									
119.									

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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 13

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120.									
121.									
122.									
123.									
124.									
125.									
126.									

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 12 of 13

Name of Person Reporting

Wallace, Mark S.

Date of Report

05/06/2014

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

Many of the reported transactions are short sales. In such a transaction, the sale precedes the purchase. Gain or loss is realized when the short sale is closed out by purchasing the stock or commodity that was sold short. The audit function in the software fails to take these short sales into account and therefore generates a host of misleading "error" messages. For example, if a June emini S&P contract is sold on April 10, 2013 and bought on June 1, 2013, the transaction closes out on June 1, 2013 and nothing is owned as of the close of the reporting period on December 31, 2013.

Certain assets generate no income during the reporting period. For example, precious metals generate no income unless sold. Stocks that are sold short (such as PNRA, PCLN and SAM) generate no income while held short.

Many of the reported transactions involve commodity, currency index or stock index futures contracts. In such a transaction, there is no "purchase price" as such. Instead, the buyer (or seller) posts cash margin to secure his promise to buy or sell at maturity. The liability on futures contracts can vary from day to day based upon daily price limits regarding how much a price for the underlying commodity, currency index or stock index can rise or fall in a single day. Some contracts have no limits. Therefore, the liability theoretically could be infinite.

Also, please note that when securities are sold short and then closed out in not one but two (partial) transactions, there is no "buy (partial)" notation to elect. Therefore, I simply used "buy."

For open futures positions at the end of the year, if any, the unrealized gain or loss in the contract as of the close of business on December 31, 2013 is reported.

Revocable Trust #1 no longer has a beneficial interest in any assets.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Wallace, Mark S.

Date of Report

05/06/2014

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/ **Mark S. Wallace**

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