

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) Whinery, Brenda M.	2. Court or Organization U.S. Bankruptcy Court, District of Arizona	3. Date of Report 05/14/2014
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 James A. Walsh U.S. Courthouse 38 S. Scott Ave Tucson, AZ 85701		
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 #1
2.	Creditor Trustee (terminated 1/24/2013)	Estate of Fort Defiance Housing Corp. (Court Appointed Chapter 11 Trustee)
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.	2002	Mesch, Clark & Rothschild 401(k) Retirement Plan (two assets remain in self-directed account)
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. NCBJ

October 30, 2013 -
November 1, 2013

Atlanta, GA

NCBJ-Atlanta

Lodging (2 nights)

2. American Bankruptcy
Institute

December 5-6, 2013

Los Angeles, CA

ABI 25th Annual
Leadership Conference

Lodging, meals, transportation expenses

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.)*

	<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.	Chase Card Services	Credit Card	J
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. Bank of America - Accounts	A	Interest	K	T					
2. Chase Bank - Accounts	A	Interest	L	T					
3. Trust #1									
4. -Bank of America - Account	A	Interest	O	T					
5. Wells Fargo Brokerage Account - Trust									
6. -Cash - Wells Fargo	A	Interest	L	T					
7. -Alerian MLP - Stock ETF	B	Dividend	K	T					
8. -Chevron Corp Stock	B	Dividend	K	T					
9. -National Retail PPTYS Stock	B	Dividend	K	T					
10. -Bank of America Corp Stock	A	Dividend			Sold	01/15/13	J	A	
11. -Ford Motor Credit Co Bond	A	Interest	K	T					
12. -Goldman Sachs Group Bond	B	Interest	K	T					
13. -Citigroup Funding Inc Bond	A	Interest	K	T					
14. -Hartford Financial Services Bond	A	Interest	K	T					
15. -Morgan Stanley Bond	A	Interest			Redeemed	09/23/13	K	A	
16. -General Motors Preferred Stock	B	Dividend	K	T					
17. -Vanguard Index 500 Trust	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 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	

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18. -Golf Links Green Building LLC	C	Distribution	K	U					
19. -Forbes Warehouse LLC	C	Distribution	K	U					
20. -NW Ambulatory Building LLC	D	Distribution	K	U					
21. -Fremont Street LLC	D	Distribution	K	U					
22. Wells Fargo IRA									
23. -Cash	A	Interest	K	T					
24. -Walt Disney Co. Stock	A	Dividend	K	T					
25. -General Electric Co. Stock	A	Dividend	J	T					
26. -Home Depot Inc. Stock	A	Dividend	J	T					
27. -Intel Corp Stock	A	Dividend	J	T					
28. -Int'l Rectifier Corp Stock	A	Dividend	J	T					
29. -Manpower Group Stock	A	Dividend	K	T					
30. -Dow Chemical Bond	A	Interest	K	T					
31. -Pimco FDS Total Return Fund	A	Interest	L	T					
32. -Citicorp Inc. Bond (x)	A	Interest	K	T	Buy	10/11/13	K		
33. -Conoco Phillips Co. Bond (x)	A	Interest	K	T	Buy	10/07/13	K		
34. -Pimco Equity Series Mutual Fund (x)	A	Interest	L	T	Buy	09/26/13	L		

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35. -AT&T Inc. Bond (x)	A	Interest	L	T	Buy	10/07/13	L		
36. -Goldman Sachs Group Notes (x)	A	Interest	L	T	Buy	10/07/13	L		
37. -MetLife Inc. Notes (x)	A	Interest	K	T	Buy	10/07/13	K		
38. Mesch, Clark & Rothschild 401(k)									
39. -Wells Fargo Brokerage Acct Cash	A	Interest			Closed	04/15/13	M		
40. -Fremont LLC	C	Distribution	K	U					
41. -Wattis Runway Drive	C	Distribution	K	U					
42. -Morgan Stanley Bond	A	Interest			Redeemed	09/23/13	K		
43. -John Hancock Lifestyle Growth Fund	B	Dividend			Sold	03/26/13	L		
44. 529 Account - Washington Mutual Investors Funds-ShareClass C	A	Dividend	K	T					
45. Jackson National Life Annuity	A	Interest	L	T					
46. Northwestern Mutual Adjustable Comp Life	B	Dividend			Sold	03/13/13	L		
47. Vanguard Index 500	B	Dividend	L	T					
48. Wells Fargo Brokerage Account									
49. -Walt Disney Co. Stock	A	Dividend	J	T					
50. -Intel Stock	A	Dividend	J	T					

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

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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/ **Brenda M. Whinery**

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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