

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) Ellis-Monro, Barbara J.	2. Court or Organization U.S. Bankruptcy Court, Northern District of Georgia	3. Date of Report 5/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - active	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 75 Ted Turner Drive., SW, Rm. 1430 Atlanta, GA 30303		
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.	
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. May, 2010	Ellenberg, Ogier, Rothschild & Rosenfeld, PC PS Retirement Plan; 401k with former firm, no control**
2. Jan. 2003	Smith, Gambrell & Russell, LLP Partner-Staff 401k PS Plan; 401k with with former firm, no control**
3. 1984	Sears Holding Pension Plan fka Kmart Pension Plan

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Turner Services, Inc. salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	October 25-28, 2016	San Francisco, California	Annual Conference and CLE program	lodging reimbursement
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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. Associated Credit Union Accounts	A	Int./Div.	M	T					
2. Northwestern Mutual Whole Life	C	Dividend	M	T					
3. Path 2 College 529 Plan - TIAA CREF Balanced Option	B	Dividend	K	T					
4. Brokerage Account #1 - Northwestern Mutual account (H)									
5. American Funds Inc Fnd of Amr A	A	Dividend	K	T					
6. Brokerage Money Market		None	J	T					
7. New Perspective Fund - A	A	Dividend	K	T					
8. The Bond Fund of Amercia - A	A	Interest	J	T					
9. The Growth Fund of America - A	A	Dividend	K	T					
10. The Investment Company of America - A	A	Dividend	K	T					
11. Washington Mutual Investors Fund - A	A	Dividend	K	T					
12. IRA #1 - Northwestern Mutual (H)									
13. Brokerage Money Market		None	J	T					
14. New Perspective Fund - A	A	Dividend	J	T					
15. The Growth Fund of America - A	A	Dividend	J	T					
16. The Investment Company of Amercia - A	A	Dividend	J	T					
17. Washington Mutual Investors Fund - A	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 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

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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. IRA #2 Northwestern Mutual IRA (H)									
19. American Funds Inc Fnd of Amr A	A	Dividend	K	T					
20. Brokerage Money Market		None	J	T					
21. New Perspective Fund -A	A	Dividend	J	T					
22. The Bond Fund of America - A	A	Interest	J	T					
23. The Investment Co. of America - A	A	Dividend	K	T					
24. Washington Mutual Investors Fund - A	A	Dividend	K	T					
25. The Growth Fund of America - A	A	Dividend	J	T					
26. Smith Gambrell & Russell LLP Partner Staff 401(k) (H)*					Distributed	12/08/16	N		
27. -DFA US Large Cap Value III	B	Dividend							
28. -Vanguard Growth Index Instl	A	Dividend			Sold	04/01/16	L		
29. -DFA US Large Cap Growth Instl	A	Dividend			Buy	04/01/16	L		
30. -DFA US Targeted Value I	A	Dividend							
31. -Vanguard Mid-Cap Growth Index Inv	A	Dividend			Sold	04/01/16	K		
32. -Vanguard Small Cap Growth Index Inv	A	Dividend			Sold	04/01/16	K		
33. -DFA US Small Cap Growth Inst'l	A	Dividend			Buy	04/01/16	L		
34. -DFA Emerging Markets Core Equity	A	Dividend							

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

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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. -DFA Int'l Small Company I	A	Dividend							
36. -DFA Large Cap Int'l	B	Dividend							
37. -DFA Int'l Real Estate Sec I									
38. -DFA Real Estate Securities I	A	Dividend							
39. -DFA Five Year Global Fixed Income	A	Dividend			Sold	04/01/16	K		
40. -Vanguard Total Bond Market Index Ad	A	Int./Div.			Buy	04/01/16	K		
41. -DFA Inflation - Protection Securities	A	Dividend							
42. -DFA One Year Fixed Income I	A	Dividend							
43. Time Warner Savings 401(k) (H)	A	Dividend	N	T					
44. -Manning & Napier Overseas Fund		None			Sold	08/02/16	K		
45. - International Eq A Investment Trust		None	K	T	Buy	08/02/16	K		
46. -T. Rowe Price Large Cap Core Growth		None	L	T					
47. -DFA Emrg Mkt Core Equity	A	Dividend	K	T					
48. - Fidelity Large Cap Value Fund		None	M	T					
49. -Fidelity Bond Index		None	M	T					
50. -Fidelity Int'l Index		None	K	T					
51. -Fidelity S&P 500 Index		None	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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. -Fidelity Small Cap Index		None	L	T					
53. Ogier Rothschild Rosenfeld, PC 401k (H)*					Distributed	12/28/16	M		
54. -Vanguard Capital Oppty Fnd Admiral Shares	C	Dividend			Buy (add'l)	02/24/16	J		
55.					Buy (add'l)	06/21/16	J		
56.					Buy (add'l)	10/27/16	J		
57. -Vanguard Extended Market Index Fnd Admiral Shares	C	Dividend			Buy (add'l)	02/24/16	J		
58.					Buy (add'l)	04/11/16	J		
59.					Buy (add'l)	06/21/16	J		
60.					Buy (add'l)	10/27/16	J		
61. -Vanguard FTSE All-Wld ex-US Sm-Cap Index Investors Shares Fnd*	B	Dividend							
62.					Buy (add'l)	04/11/16	K		
63.					Buy (add'l)	06/21/16	J		
64.					Buy (add'l)	10/27/16	J		
65. -Vanguard Global Equity Fnd	C	Dividend			Buy (add'l)	02/24/16	J		
66.					Buy (add'l)	04/11/16	J		
67.					Buy (add'l)	06/21/16	J		
68.					Buy (add'l)	10/27/16	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

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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. -Vanguard High-Yield Corp Fnd Admiral	D	Dividend			Buy (add'l)	02/24/16	J		
70. -Vanguard Int'l Growth Fnd Admiral Shares	C	Dividend			Buy (add'l)	02/24/16	J		
71.					Buy (add'l)	04/11/16	J		
72.					Buy (add'l)	06/21/16	J		
73.					Buy (add'l)	10/27/16	J		
74. -Vanguard Prime Money Market Fnd*	A	Dividend							
75.					Sold (part)	02/24/16	L		
76.					Sold (part)	04/11/16	K		
77.					Sold (part)	06/21/16	K		
78.					Sold	07/15/16	K		
79.					Redeemed	10/05/16	K		
80. -Vanguard Federal Money Mkt Fund	A	Dividend			Buy	07/15/16	K		
81.					Sold (part)	10/27/16	J		
82. -Vanguard REIT Index Fnd Admiral Shares	E	Dividend			Buy (add'l)	02/24/16	J		
83.					Buy (add'l)	10/27/16	J		
84. -Vanguard Selected Value Fnd	C	Dividend			Buy (add'l)	02/24/16	J		
85.					Buy (add'l)	06/21/16	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 9 of 11

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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.					Buy (add'l)	10/27/16	J		
87. -Vanguard US Growth Fnd Admiral Shares	B	Dividend			Buy (add'l)	02/24/16	J		
88.					Buy (add'l)	06/21/16	J		
89.					Buy (add'l)	10/27/16	J		
90. -T. Rowe Price Dividend Growth Fund	C	Dividend							
91. -T. Rowe Price New Horizons Fnd		None							
92. -T. Rowe Price Int'l Stock Fnd	B	Dividend							
93. US Treasury Bonds	A	Interest	J	T					
94. Guardian Life Ins. Co. of America whole life	D	Dividend	M	T					
95. Sears Holding Pension Plan		None	J	W					
96. Vanguard SEP IRA (H)									
97. -Vanguard 500 Index Fund Admiral Shares	A	Dividend	K	T					
98. -Vanguard Total Int'l Stock Index Fund Investors Shares	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 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

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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

II. Agreements:

Line 1: All funds in this 401k plan were rolled over into the TSP plan in December, 2016.

Line 2: All funds in this 401k plan were rolled over into the TSP plan in December, 2016.

VII. Investments and Trusts:

Line 26: This 401k account was rolled over into the Thrift Savings Plan. The distribution from the 401k took place on December 8, 2016.

Line 53: This 401k account was rolled over into the Thrift Savings Plan. The distribution from the 401k took place on December 28, 2016.

Line 74: Plan participants contribute to the plan bi-month and high income participants maximize their contributions at the end of the year. These contributions are initially put into the money market fund. I have not included employee contributions into the money market fund on Part VII. In addition, all funds were transferred to the new Federal Money Market Fund (see line 78) on July 15, 2016, but subsequently additional employee contributions were made to the Prime Money Market Fund which were redeemed by the plan trustee on October 5, 2016 (see line 79). Thereafter there were no contributions to this fund.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Ellis-Monro, Barbara J.

Date of Report

5/10/2017

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/ **Barbara J. Ellis-Monro**

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