

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Novack, Charles D.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 10/16/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Bankruptcy Court 1300 Clay Street, Courtroom 215 Oakland, CA 94612		
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. Co-Trustee	Estate #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. 1999	GATX Pension Plan, in which [REDACTED] has some unknown future benefit. [REDACTED] terminated employment in December 2004.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

10/16/2015

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. 2014	Self-employed attorney
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. The State Bar of California	09/12/14 - 09/13/14	San Diego, California	Presentation at State Bar Annual Meeting	Meal, Transportation, and Lodging
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

10/16/2015

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.		tuition	K
2.	Nordstrom Bank	credit card	K
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

10/16/2015

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. IRA #1	E	Int./Div.	O	T					
2. - Schwab Cash and Money Mkt					Sold (part)	01/08/14	J		
3.					Sold (part)	04/08/14	J		
4.					Sold (part)	04/17/14	J		
5.					Sold (part)	06/11/14	J		
6.					Sold (part)	07/03/14	J		
7.					Buy (add'l)	09/22/14	J		
8.					Buy (add'l)	09/23/14	L		
9.					Sold (part)	09/25/14	K		
10.					Sold (part)	09/23/14	K		
11.					Sold (part)	10/06/14	J		
12.					Sold (part)	10/15/14	J		
13.					Sold (part)	10/20/14	J		
14.					Buy (add'l)	12/18/14	J		
15.					Sold (part)	12/19/14	J		
16.					Buy (add'l)	12/31/14	J		
17. -Accenture PLC Class A									

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 5 of 14

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18. - Baxter International, Inc.					Sold	06/06/14	K		
19. -Donaldson Company, Inc. (common)					Buy	09/16/14	J		
20.					Buy (add'l)	09/18/14	J		
21.					Buy (add'l)	09/22/14	J		
22. -Colgate Palmolive Co. (common)									
23. -Canadian National Railways Co. (common)									
24. -Factset Research System, Inc. (common)									
25. -Grainger WW, Inc. (common)									
26. -Hormel (common)									
27. - Magellan Midstream Partners (common)					Sold (part)	04/11/14	J		
28. - Metronic, Inc. (common)									
29. -Nike, Inc. (common)									
30. -Novo - Nordisk as ADR									
31. - PetSmart, Inc.					Sold	11/05/14	K		
32. -Polaris Industries (common)					Buy	11/06/14	K		
33. -Praxair, Inc. (common)									
34. -Scripps Ntwk Interactive (common)					Buy	04/11/14	J		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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35.					Buy (add'l)	04/14/14	J		
36. - Target Corporation					Sold	04/11/14	K		
37. -TJX Companies (common)									
38. -T. Rowe Price Group (common)									
39. - Toronto Dominion Bank									
40. -United Health Group, Inc (common)					Buy	06/06/14	K		
41. - Walgreen Company (common)									
42. - Xilinx, Inc. (common)									
43. - 361 Managed Futures Strat. Fund C1 1					Buy (add'l)	09/24/14	J		
44. - Doubleline Total Return Bond Fund C1 1									
45. - Guggenheim Exch TRD FD Bullet Shares 2014 Corp Bond ETF					Matured	12/31/14	J		
46. - Guggenheim Exch TRD FD Bullet Shares 2015 Corp Bond ETF					Buy (add'l)	09/24/14	J		
47. - Guggenheim Ech TRD FD Bullet Shares 2016 Corp Bond ETF					Buy	09/24/14	J		
48. - Guggenheim Exch. TRD FD Bullet Shares 2017 Corp Bond ETF					Buy	09/24/14	J		
49. - Guggenheim ETF Bullet Shares 2018 Corp Bond									
50. - Guggenheim ETF Bullet Shares 2020 Corp Bond					Buy	09/24/14	J		
51. -Guggenheim ETF Bullet Shares 2021 Corp Bond					Buy	09/22/14	J		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

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52.					Buy (add'l)	09/24/14	J		
53.					Buy (add'l)	09/24/14	J		
54.					Buy (add'l)	09/24/14	J		
55. - iShares Tr. Bond 1-3 Year Credit Bond ETF					Sold		J		See Part VIII
56. - iShares 2020 ETF New Corporate Ex- Financials Term					Buy (add'l)	09/24/14	J		
57. - PIMCO All Asset All Authority CL Inst.					Buy	09/24/14	J		
58. -PIMCO Income Fund Institutional Class					Buy	09/24/14	K		
59. - PIMCO Exh. Corp. Bond ETF Intermediate Term					Sold	09/24/14	K		
60. - Templeton Global Bond Fund A					Buy (add'l)	12/18/14	J		
61. - SPDR Fincl. Select Shares					Sold	09/16/14	K		
62. -Vanguard International Equity Index All World					Sold (part)	09/24/14	J		
63. - Vanguard Bond Index Fund					Buy (add'l)	09/24/14	J		
64. - T. Rowe Price Emerging Markets Fund					Sold (part)	09/24/14	J		
65. IRA #2	D	Int./Div.	N	T					
66. -Schwab Adv. Cash Reserve					Sold (part)	01/08/14	J		
67.					Buy (add'l)	03/14/14	J		
68.					Sold (part)	04/08/14	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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Novack, Charles D.

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69.					Sold (part)	07/03/14	J		
70.					Buy (add'l)	09/22/14	J		
71.					Sold (part)	09/23/14	J		
72.					Sold (part)	09/25/14	J		
73.					Sold (part)	10/06/14	J		
74.					Sold (part)	09/15/14	J		
75.					Buy (add'l)	10/20/14	J		
76. - Accenture PLC Class A									
77. - Baxter International Inc.					Sold	06/06/14	J		
78. - Canadian National Railways Co. (common)					Sold (part)	03/10/14	J		
79. - Colgate Palmolive Co. (common)									
80. - Donaldson Company (common)					Buy	09/16/14	J		
81.					Buy (add'l)	09/18/14	J		
82.					Buy (add'l)	09/22/14	J		
83. - Factset Research, Inc. (common)									
84. - Grainger WW, Inc. (common)									
85. - Hormel (common)									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

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86. - Magellan Midstream Partners					Sold (part)	03/10/14	J		
87. - Medtronic, Inc. (common)					Sold (part)	03/10/14	J		
88. - Nike, Inc. (common)					Sold (part)	03/10/14	J		
89. - Novo Nordisk as ADR					Sold (part)	03/10/14	J		
90. -PetSMART (common)					Buy	03/10/14	J		
91. - Target Corporation					Sold	04/11/14	J		
92. - Toronto Dominion Bank F									
93. - PetSmart					Sold	11/05/14	J		
94. - Polaris Industries (common)					Buy	11/06/14	J		
95. - Praxair, Inc. (common)									
96. -Scripps Ntwk Interactive (common)					Buy	04/11/14	J		
97.					Buy (add'l)	04/14/14	J		
98. - T. Rowe Price Group (common)									
99. - TJX Companies (common)									
100. - United Health Group (common)					Buy	06/06/14	J		
101. - 361 Managed Futures Strat Fund Cl 1					Buy (add'l)	03/10/14	J		
102. - Doubleline Total Return Bond Fund Cl 1									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103. - Guggenheim ETF Bullet Shares 2014 Corp Bond ETF					Matured	12/31/14	J		
104. - Guggenheim ETF Bullet Shares 2015 Corp Bond Fund ETF					Buy	03/10/14	J		
105. - Guggenheim ETF Bullet Shares 2016 Corp Bond Fund ETF					Buy	03/10/14	J		
106. - Guggenheim ETF Bullet Shares 2017 Corp Bond Fund ETF					Buy (add'l)	03/10/14	J		
107. - Guggenheim ETF Bullet Shares 2018 Corp Bond ETF					Buy (add'l)	03/10/14	J		
108. - Guggenheim ETF Bullet Shares 2020 Corp Bond					Buy (add'l)	03/10/14	J		
109. -Guggenheim ETF Bullet Shares 2021 Corp Bond					Buy	03/10/14	J		
110. - iShares 2020 ETF Corp Ex-Financials Term					Buy (add'l)	03/10/14	J		
111. - PIMCO Exh Traded Fund 1-5 yr US TIPS Index Exh.					Buy	03/10/14	J		
112.					Sold	10/14/14	J		
113. - PIMCO All Asset All Authority C1 Inst.					Buy (add'l)	03/10/14	J		
114.					Buy (add'l)	09/22/14	J		
115. - PIMCO Income Fund Institutional Class					Buy	10/14/14	J		
116. - Vanguard Bond Index Fund					Buy (add'l)	03/10/14	J		
117. - Vanguard Intl Eqty Index ETF									
118. - SPDR Fincl SelectShares of Beneficial Int.					Sold	09/16/14	J		
119. - T. Rowe Price - Emerging Markets Fund									

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

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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)
120. - Templeton Global Bond Fund									
121. - XILINX, Inc. (common)					Sold (part)	04/11/14	J		
122. - Walgreen, Inc. (common)					Sold	03/10/14	J		
123. U.S Savings Bonds Type E	A	Int./Div.	J	T					
124. Wells Fargo Bank Accounts	A	Interest	K	T					
125. Bank of America Account	A	Interest			Closed	02/24/14	J		
126. Fidelity Value Fund	A	Dividend	J	T					
127. Fidelity Cash Reserves	A	Interest	K	T					
128. RBC Wealth Management U.S. Govt Money Market Account	A	Int./Div.	J	T					
129. Vanguard 500 Index IRA # 3	C	Int./Div.	M	T					
130. Fidelity Cal. Muni Market	A	Int./Div.	M	T					
131. Schwab Adv. Cash Reserve	A	Interest	J	T					
132. Vanguard Limited Term Tax Exempt Investor SHR	A	Dividend			Sold	09/24/14	J	A	
133. Vanguard Intl Equity Index Fund	A	Dividend	J	T	Buy	09/24/14	J		
134. Brown Cap. Mgmt. Small Company Inv. Shares	A	Distribution	K	T					
135. UBS Cash Fund	A	Interest	J	T					
136. Fidelity Blue Chip Growth	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 12 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

10/16/2015

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)
137. Fidelity Growth Strategies Fund	A	Dividend	J	T					
138. Novack [REDACTED] LLC		None	J	Q					

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 13 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

10/16/2015

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

Investments and Trusts: IRA #1 owns two similarly named Templeton Bond Funds: Templeton Global Bond Fund CL A and Templeton Global Bond Fund Adv. Cl. The prior disclosure forms reported all of the transactions in both funds under one name. For purposes of simplicity, this and future disclosure forms will continue this.

Investment and Trusts: The 2013 disclosure form should have stated that the entire investment in iShares Tr. Bond 1 -3 Year Credit ETF in IRA #1 was sold on 10/07/13. It erroneously did not, and it appears on this year's form. To rectify this, this form will report that it was sold in full.

Investment and Trusts: The 2013 disclosure form should have stated that the investment in Guggenheim ETF Bullet 2014 Shares was a "J" amount, not a "K" amount. This investment matured in 2014, and the amount which matured is correctly listed as a "J" amount.

Investment and Trusts: The property in the Novack [REDACTED] LLC was appraised in February 2012.

Positions: Estate #1 has been fully administered.

Line 134 was amended to include the full name of the mutual fund.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

10/16/2015

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/ Charles D. Novack**

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
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