

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Albert, Theodor C.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 06/12/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 411 W. Fourth Street Santa Ana, CA 92701-4593 Suite 5085		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Old Towne Preservation Association (see Part VIII)
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Chapman University, Fowler School of Law	\$6,450.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 1/17-12/17	periodic partner draws from her lawfirm Gaskell&Brown LLP
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. California Bankruptcy Forum	May 2017	Coronado, California	annual conference	two nights lodging and meals
2.				
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.	Bank of America	credit card balance	K
2.	Wells Fargo	credit card balance	J
3.	Macy's credit	credit card balance	J
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. Georgia Dover Educ. Trust #2	A	Dividend	L	T	Distributed (part)	10/1/17	J		
2. -Washington Mutual Investors Fund	A	Interest	L	T	Distributed (part)	10/01/17	J		
3. -Learning Quest	A	Interest	J	T	Distributed (part)	10/01/17	J		
4. Bank of America checking	A	Interest	J	T					
5. Wells Fargo Checking (see Part VIII)	A	Interest	J	T					
6. Wells Fargo Checking (see Part VIII)	A	Interest	J	T					
7. Simple IRA Wells Fargo Advisors	A	Interest	K	T					
8. Wells Fargo Advisors #1 header									
9. -Wells Fargo Cash deposit	A	Interest	J	T					
10. -BP PLC Spons ADR	A	Dividend	J	T					
11. -Darden Restaurants	A	Dividend	J	T					
12. -Frontier Communications	A	Dividend	J	T					
13. -General Electric Corp.	A	Dividend	J	T					
14. -New York Community Bancorp.	A	Distribution	J	T					
15. -Morgan Stanley Fix/Float CPA Note	A	Interest	J	T	Sold (part)	07/17/17	K	A	
16. -Morgan Stanley Fix/Float	A	Interest	K	T					
17. -U.S. Treasury Bond	A	Interest	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 ~\$250,000,001 - \$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. -Aberdeen Asia Pacific Fund	B	Dividend	J	T					
19. -Morgan Stanley Emerging Market Fund	A		K	T					
20. -Eaton Vance Tax Managed Global	A	Dividend	J	T					
21. -Eaton Vance Tax Managed	A	Dividend	K	T					
22. -Gabelli Dividend&Income Trust	A	Dividend	J	T					
23. -Blackrock Enhanced Govt. Fund	A	Dividend	J	T					
24. -Green Mountain Coffee	A	Dividend	J	T					
25. -Frontier Communications	A	Dividend	J	T	Buy (add'l)	07/10/17	J		
26. -Frontier Communications	A	Dividend	J	T	Sold (part)	07/10/17	J	A	
27. -Intel Corp.	A	Dividend	J	T	Buy	06/09/17	J		
28. -Intel Corp.	A	Dividend			Sold	11/06/17	J	A	
29. -Vanguard Divid Appr ETF	A	Dividend	K	T	Buy	11/06/17	K		
30. -New York Comm Bancorp	A	Dividend	J	T	Buy (add'l)	01/25/17	J		
31. -Hawaiian Elec. Inds I	A	Dividend	J	T	Buy	01/11/17	J		
32. --Amgen Inc.	A	Dividend	J	T					
33. Wells Fargo Advisors #2 header									
34. -Cash sweep account	A	Interest	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	

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35. -Two Harbors Invt. Corp.	A	Dividend	J	T					
36. -LaSalle Bank Floating Rate		None	K	T					
37. Wells Fargo Advisors #3 IRA header									
38. -La Salle Bank floating Rate	A	Interest	K	T					
39. -Aust. Currency Shres DL ETF		None	J	T					
40. -SPDR DB Intl. Govt.		None	J	T					
41. -Xerox Corp. aka Conduent, Inc. see Part VIII	A	Distribution	J	T					
42. -C. SPLS 032015.		None	J	T					
43. -C SPLS 032015		None	J	T					
44. -Staples Inc.	A	Dividend			Sold (part)	09/13/17	J		
45. -Hecla Mining	A	Dividend							
46. -AT&T	A	Dividend	J	T					
47. -Guggenheim Build Am.	A	Dividend	K	T					
48. -Pfizer	A	Dividend	J	T					
49. -Pfizer	A	Dividend	J	T					
50. -Amgen, Inc.	A	Dividend	J	T					
51. -Amgen, Inc.	A	Dividend	J	T					

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52. -Amgen, Inc.	A	Dividend	J	T					
53. -Starz Series A	A	Dividend							
54. -Guggenheim Build Am.	A	Dividend	J	T					
55. -Deere&Co.	A	Dividend	J	T					
56. -Nuveen S&P 500 Buy-Write	A	Dividend	J	T					
57. -Firstenergy Corp.	A	Dividend	J	T	Buy (add'l)	01/18/17	J		
58. -Google CL C Non-voting		None	J	T					
59. -Hertz Global Holdings		None	J	T	Sold (part)	11/24/17	J	A	
60. -Ford Motor Co.	A	Dividend	J	T					
61. -JPMorgan Chase med. notes	A	Interest	L	T	Sold (part)	11/24/17	J	A	
62. -Hecla Mining	A	Dividend	J	T					
63. -Hecla Mining	A	Dividend	J	T					
64. -Fitbit, Inc. CL A	A	Dividend	K	T					
65. -Hecla Mining Co.	A	Dividend	K	T					
66. -At&T Inc.	A	Dividend	J	T					
67. -iShares MSCI ETF	A	Dividend	J	T	Buy	10/03/17	J		
68. -Salesforce.com	A	Dividend	J	T	Buy	11/24/17	J		

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69. -Alibaba Grp.	A	Dividend	J	T	Buy	11/24/17	J		
70. -Amazon, Inc.	A	Dividend	J	T	Buy	3/27/17	J		
71. -Hanesbrands, Inc.	A	Dividend	J	T	Buy	03/03/17	J		
72. -Twitter, Inc.	A	Dividend	J	T	Buy	11/24/17	J		
73. -Zagg, Inc.	A	Dividend	J	T	Buy	11/24/17	J		
74. -US Treasury Inf. Indexed Notes	A	Interest	K	T	Buy	03/08/17	J		
75. The [REDACTED] Trust (see part VIII) header									
76. -City National Bank	A	Interest			Distributed	05/15/17	L	A	
77. -Wells Fargo Bank	B	Interest			Distributed	05/15/17	L	A	
78. -WellsFargo Bank	B	Interest			Distributed	05/15/17	L	A	
79. -Chase Bank	A	Interest			Distributed	05/15/17	L	A	
80. -Union Bank	A	Interest			Distributed	05/15/17	J	A	
81. -Bank of America	A	Interest			Distributed	05/15/17	J	A	
82. The [REDACTED] Trust (see part VIII) header									
83. -Toronto Dominion Bank note	A	Interest	K	T	Buy	10/03/17	J		
84. -Toronto Dominion Bank note	A	Interest	K	T	Sold (part)	11/30/17	J		
85. -Goldman Sachs CD	A	Interest	J	T	Buy	10/03/17	J		

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86. -Morgan Stanley SR unsec. variable	A	Interest	K	T	Buy	10/04/17	J		
87. -State Bank of India CD	A	Interest	J	T	Buy	10/03/17	J		
88. Wells Fargo Advisors header									
89. -Morgan Stanley Fixed to Float note	A	Interest	K	T	Buy	07/21/17	J		

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

VII Investments cont. Items #1 Georgia Dover Educational trust are invested in Washington Mutual Investor's Fund administered by Learning Quest.

VII Investments cont. Item#5: This Wells Fargo account holds monies received as my distribution from [REDACTED] Trust 05/15/2017

VII Investments cont. Item#6: This account is the operating account for [REDACTED] lawfirm Gaskell & Brown. Balance fluctuates daily.

VII Investments cont. Item #41: This event is described by Wells Fargo Advisors, who manages the account, as a spinoff from Xerox of a new subsidiary Conduent, Inc., not a dividend

VII Investments cont. Item #75-81 and 82-87 : The great bulk of the [REDACTED] Trust was distributed to the beneficiaries. However, a portion of the funds are still being administered at Wells Fargo Advisors by me in a joint account for benefit of [REDACTED], who was a beneficiary of the [REDACTED] Trust but not quite 25 years of age. The joint account with [REDACTED] assent is now being administered for [REDACTED] education although I am still on title jointly as a protective device..

VII Investments cont. Item #89 an account held jointly [REDACTED] at Wells Fargo Advisors.

Part I: Old Towne Preservation Association is a non-profit charitable/educational association dedicated to the preservation of architecture from before 1930 in Old Towne Orange, CA. The directorship is unpaid.

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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/ Theodor C. Albert

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