

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) Wallace, Mark S.	2. Court or Organization United States Bankruptcy Court, Central Dist. of California	3. Date of Report 5/10/2018
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 01/01/2017 to 12/31/2017
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 (no reportable assets)
2. Director	The Orange Rotary Charitable Trust
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.	
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. Association of Insolvency and Restructuring Advisors	June 6-10, 2017	Dallas, TX	Annual conference	Transportatio, meals, lodging
2. National Conference of Bankruptcy Judges	October 7-11, 201	Las Vegas, NV	Annual conference	Transportation, meals, lodging
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.	Wells Fargo Advisors	Contingent liabilities for stocks sold short	J
2.	Bank of America	Credit card	J
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.	US Bank	Credit card	J
6.	Union Bank	Credit card	K
7.	Target	Credit card	J

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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. Wells Fargo Advisors Money Market Fund	A	Dividend	K	T					
2. US Treasury Bond	A	Interest	K	T					
3. SDD units	A	Distribution	J	T					
4. SRS units	A	Distribution	J	T					
5. Wells Fargo Bank Deposit (x)	A	Interest	J	T					
6. ABX common stock	A	Dividend	J	T					
7. American Century Capital Preservation Fund	A	Dividend	J	T					
8. American Century Global Gold Fund	A	Dividend	J	T					
9. American Century Capital Preservation Fund	A	Dividend	M	T	Buy (add'l)	06/29/17	J		
10. UBS USA Deposit Account	A	Interest	K	T	Redeemed (part)	03/17/17	K		
11. XOM common stock	A	Dividend	K	T					
12. PWE units	A	Dividend			Merged (with line 13)	06/28/17	J		
13. Obsidian Energy	A	Dividend	J	T	Open	06/28/17	J		
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:	A –\$1,000 or less (See Columns B1 and D4)	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	F –\$50,001 - \$100,000 J –\$15,000 or less (See Columns C1 and D3)	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000	M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	
3. Value Method Codes	N –\$250,001 - \$500,000 P3 –\$25,000,001 - \$50,000,000	Q –Appraisal U –Book Value	R –Cost (Real Estate Only) V –Other	P4 –More than \$50,000,000 S –Assessment W –Estimated	T –Cash Market

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☐ NONE (No reportable income, assets, or transactions.)

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18. PSX	A	Dividend	J	T					
19. ECA common stock	A	Dividend	J	T					
20. iShares TIPs Bond Fund	A	Distribution	K	T					
21. US Treasury obligations	B	Interest	L	T	Matured (part)	01/17/17	K	A	
22. Federated Prudent Bear Fund	A	Distribution	J	T					
23. PHYS units		None	J	T					
24. Physical gold		None	K	T					
25. US Double Eagle coins		None	M	T					
26. Physical silver		None	J	T					
27. Bank of America savings account	A	Interest	K	T					
28. Bank of America checking account	A	Interest	K	T					
29. Union Bank checking account	A	Interest	J	T					
30. Chase Bank checking account	A	Interest	J	T					
31. Chase Bank savings account	A	Interest	J	T					
32. VXX units	A	Distribution	J	T	Redeemed (part)	08/22/17	J	A	
33.			J	T	Redeemed (part)	08/23/17	J	A	
34. SDD units	A	Distribution	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. ABX common stock	A	Dividend	J	T					
36. XOM common stock	A	Dividend	J	T					
37. US Treasury obligations	A	Interest	K	T					
38. Federated Prudent Bear Fund	A	Distribution	K	T					
39. Vanguard Ginnie Mae Fund	A	Distribution	K	T					
40. Vanguard Inflation Index Fund	A	Distribution	K	T					
41. Rydex Inverse S&P5002x Strategy Fund	A	Distribution	K	T					
42. American Century Capital Preservation Fund	A	Distribution	L	T					
43. UBS U.S. deposit account	A	Distribution	K	T					
44. GG common stock	A	Dividend	J	T					
45. US. Treasury obligations	A	Interest	K	T					
46. Dreyfus 100% US Treasury Money Market Fund	A	Distribution	K	T					
47. Fidelity US Treasury Money Market Fund	A	Distribution	K	T					
48. Rydex US Government Money Market Fund	A	Distribution	J	T					
49. Grizzly Short Fund	A	Distribution	L	T					
50. Wells Fargo Bank Deposit Sweep	A	Interest	L	T	Buy (add'l)	01/17/17	K		
51. ADM Investor Services	A	Distribution	J	T					

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52. US Savings Bonds	A	Interest	K	W					
53. Northwestern Whole Life Mutual Life Insurance Policy	A	Dividend	K	W					
54. U.S. Treasury obligations	B	Interest	M	T					
55. -200 PNRA common stock		None	J	T	Buy	07/19/17	J	A	
56. Prudent Bear Fund	A	Distribution	K	T					
57. -20 PCLN common stock		None	J	T					
58. NEM common stock	A	Dividend	K	T					
59. BGEIX units	A	Distribution	K	T					
60. SGOL units		None	J	T					
61. NEM common stock	A	Dividend	J	T					
62. SLV units		None	K	T					
63. -200 MAR common stock		None	J	T					
64. -20 CMG common stock		None	J	T					
65. -20 AZO common stock		None	J	T					
66. AVP common stock	A	Dividend	J	T					
67. 1 November \$10 bean call		None			Buy	04/13/17	J		
68.					Sold	08/03/17	J	A	

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69. 1 November \$10.60 bean call		None			Buy	07/13/17	J		
70.					Sold	07/25/17	J	A	
71. 1 September Dollar Index		None			Buy	08/04/17	J		
72.					Sold	09/08/17	J	A	
73. 1 March mini Silver		None			Sold	01/10/17	J	A	
74. Jackson National Life Insurance Annuity (H)									
75. JNL/Mellon Capital S&P 500 Index	A	Dividend	K	T	Buy	03/17/17	K		
76. JNL/Mellon Capital Energy Sector	A	Dividend	J	T	Buy	03/17/17	J		
77. JNL/BlackRock Global Natural Resources	A	Dividend	J	T	Buy	03/17/17	J		
78. JNL/T. Rowe Price Short-Term Bond	A	Dividend	J	T	Buy	03/17/17	J		
79. 1 September bean		None			Buy	07/10/17	J		
80.					Sold	08/24/17	J	A	
81. 1 November bean		None			Sold	07/10/17	J		
82.					Buy	08/24/17	J	C	
83. Orange Rotary Charitable Trust (H)									
84.									
85.									

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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86.									
87.									
88.									
89.									
90.									
91.									
92.									
93.									
94.									
95.									

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

Although I am a director of the Orange Rotary Charitable Trust ("ORCT"), neither I nor any member of my family is a beneficiary of the ORCT nor have I or any member of my family received any income from the ORCT. My service as a director is a community service for which I receive no compensation in any form. I am a member of the Rotary Club of Orange.

Some 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, 2017 and bought on June 1, 2017, the transaction closes out on June 1, 2017 and nothing is owned as of the close of the reporting period on December 31, 2017. Short sales and short positions are denoted by a minus sign in front of the item being sold short, for example -20 PCLN common stock means that 20 shares of Priceline common stock was sold short. As of December 31, 2017, all my short positions in individual stocks were showing losses, with the sole exception of CMG. None of the short sales generates any income, so there is a question as to whether I should be reporting short sales where there is no income and a loss position at the end of the year.

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 AZO and PCLN) 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. In actual practice, if a futures position moves against the holder, the brokerage company will issue a margin call requiring the holder to post additional cash margin within 24 to 72 hours of the call. If margin is not timely posted, the brokerage company will close out the position and bill the holder for the deficiency. For the avoidance of doubt, I had no commodities margin calls during 2017 and therefore listed the "liabilities" under Part VI of this Report as "J."

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, 2017 is reported.

Revocable Trust #1 no longer has a beneficial interest in any assets. I continue to use this trust as a nominee so that I can distinguish between separate property and community property. (My deceased mother was previously the sole beneficiary under this trust).

Various individual stocks are sold short in my Wells Fargo Advisors securities account (for example, CMG, PCLN, etc.) This account is a margin account. If the stocks-sold-short positions were to significantly move against me, I could be required to post additional margin. This has never occurred in my case but is theoretically possible. Accordingly, I have listed this as a contingent liability in Part VI of this report.

In preparing my 2017 federal income tax return, it came to my attention that I was short 200 shares of Panera Bread Company (PNRA), not 100 as I previously believed (and reported on 2012-2016 Financial Disclosures Reports). The short sale transaction was initiated in May 2012. The short sale was closed out in July 2017 involuntarily when PNRA was acquired by another company. The short sale resulted in a substantial loss. In reviewing this transaction for Financial Disclosure Report purposes, I question whether I was ever required to report this position for any of the 2012-2017 reporting periods. As of each year end, December 31, 2012, December 31, 2013, December 31, 2014, December 31, 2015, December 31, 2016 and December 31, 2017, the 200 shares held short were in a loss position (meaning that if I closed out the short by buying in 200 shares, I would have lost money on the transaction) and therefore had a value of less than \$1,000. Additionally, the 200 PNRA shares held short never generated any income.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544