

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) Faris, Robert J.	2. Court or Organization Bankruptcy Court, D. Hawaii	3. Date of Report 04/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 1132 Bishop St. Suite 250 Honolulu HI 96813		
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.		
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. 2013	State of Hawaii - salary for teaching law school course	\$5,454.00
2. 2013	National Conference of Bankruptcy Judges - salary for service as associate editor of American Bankruptcy Law Journal	\$6,000.00
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. 2013	
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. National Conference of Bankruptcy Judges	10/28 - 11/3/13	Atlanta, GA	Attend NCBJ annual meeting and American Bankruptcy Law Journal annual board meeting	Airfare, hotel, meals, ground transportation
2. Hawaii State Bar Association	2/1/13, 11/7/13, 11/27/13	Kona, Hilo, and Wailuku, HI	Credit Abuse Resistance Education presentation in high schools	Airfare, parking
3. Kamehameha Schools	4/10-11/13	Wailuku, HI	Credit Abuse Resistance Education presentation in high school	Airfare, hotel, meals, rental car, parking
4.				

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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.			
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 Hawaii accounts	A	Interest	M	T					
2. ██████████ stock		None	J	W					
3. IRA account #1 (H)	F	Int./Div.	N	T					
4. -- Schwab money market fund					Buy (add'l)	01/03/13	J		
5.					Buy (add'l)	01/18/13	J		
6. -- Vanguard Index Trust S&P 500									
7. IRA account #2 (H)	E	Int./Div.	M	T					
8. -- Schwab money market fund					Buy (add'l)	01/03/13	J		
9.					Buy (add'l)	01/18/13	J		
10. --Vanguard Index Trust S&P 500									
11. Trust #1 (H)									
12. -- Bank of Hawaii account	A	Interest	J	T					
13. Trust #2 (H)	D	Int./Div.	M	T					
14. -- Schwab money market fund					Buy (add'l)	01/02/13	J		
15.					Buy (add'l)	06/10/13	K		
16.					Sold (part)	06/24/13	J	A	
17.					Sold (part)	07/12/13	K	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	

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18.					Buy (add'l)	11/18/13	K		
19.					Sold (part)	12/19/13	K	A	
20.					Sold (part)	12/26/13	J	A	
21. -- Vanguard Index Trust S&P 500									
22. -- American Express Cent. Bank CD					Matured	11/12/13	K	A	
23. -- Goldman Sachs Bank CD					Matured	06/07/13	K	A	
24. -- American Express Cent. Bank CD									
25. -- GE Capital Retail Bank CD									
26. -- GE Capital Finl. Inc. CD									
27. Trust #3 (H)	F	Int./Div.	N	T					
28. -- Schwab money market fund					Buy (add'l)	01/02/13	J		
29. -- Vanguard Index Trust S&P 500					Sold (part)	12/26/13	J	D	
30. -- American Century ACITX									
31. -- PIMCO Total Return PTTDX									
32. -- Metropolitan West High Yield MWHYX									
33. -- PIMCO Foreign Bond Fund PFBDX									
34. -- Schwab Small Cap Income Fund									

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35. -- Glenmeade Small Cap Eqty									
36. -- Harbor Intl Fund									
37. -- Schwab Intl Index Fund									
38. -- Bank of India CD					Buy	12/31/13	K		
39. Brokerage Account #1 (H)									
40. -- Schwab municipal money market fund	A	Int./Div.	M	T					
41. U.S.Savings Bonds		None	J	T					
42. [REDACTED] pension & profit sharing plan (H)	G	Int./Div.	P1	T					
43. -- Schwab money market fund					Buy (add'l)	04/08/13	L		
44. -- Vanguard Index Trust S&P 500									
45. Hawaii Residency Programs Inc. 403(b) retirement plan (H)	C	Dividend	K	T					
46. -- ING VP Growth and Income Portfolio									
47. State of Hawaii PTS Deferred Comp. Retirement Plan	A	Int./Div.	J	T					
48.									
49.									
50.									
51.									

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52.									
53.									
54.									
55.									

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

[REDACTED]

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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/ **Robert J. Faris**

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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Washington, D.C. 20544