

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Case II, Charles G.	2. Court or Organization United States Bankruptcy Court	3. Date of Report 08/12/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 230 North 1st Avenue, Suite 101 Phoenix, AZ 85003-1727		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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 (comment 1)
2. Trustee	Trust 2 (comment 2)
3. Member, Board of Directors	International Insolvency Institute
4. Member, Board of Directors	Harvard Glee Club Foundation
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. 11/1/2011	Bloomberg Law; write chapters for treatise; compensated by the page in the same manner as non-judge authors
2. 6/11/2011	Zanichelli Editore S.p.A; periodic nominal royalties for a review of US law I wrote for an Italian legal treatise
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. 12/31/2011	Zanichelli Editore, royalties for 2011	\$200.00
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. 2011	State of Arizona 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. American College of Bankruptcy	February 2011	New York, New York	teaching at law school	travel and subsistence expenses
2. American College of Bankruptcy	March 2011	Washington, DC	attend annual meeting	travel and subsistence expenses
3. Clifford Chance and others	April 2011	Paris, France	participate in international colloquium	travel and subsistence expenses
4. University of Cologne	May 2011	Cologne, Germany	participate in international colloquium	travel and subsistence expenses
5. International Insolvency Institute	June 2011	New York, New York	attend annual meeting	travel and subsistence expenses

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6.	American Bankruptcy Institute	September 2011	Las Vegas, NV	speaker at seminar	travel expenses
7.	Chemonics	September 2011	Ulaan Bataar, Mongolia	rule of law consulting	travel and subsistence expenses
8.	National Conference of Bankruptcy Judges	October 2011	Tampa, FL	attend annual meeting	travel and subsistence expenses

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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 I (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. Share accounts at Arizona Central Credit Union	A	Int./Div.	K	T					
2. Bank of America deposit account	A	Int./Div.	J	T					
3. Bank of America deposit account	A	Int./Div.	K	T					
4. Trust 1 (see next entry)									
5. 1/2 interest in deed of trust on residential lot (comment 1)		None	M	T					
6. Trust 2 (see next entry)									
7. 1/2 interest in residential lot (comment 2)		None	M	T					
8. First Credit Union deposit account	A	Int./Div.	J	T					
9. West Fargo Bank (IRA cash equivalent account)	A	Int./Div.	J	T					
10. DFA Intl Core Equity Fund	A	Dividend			Sold	08/08/11	K	B	Market
11. MatthewsAsian Grth and Income Fund		None			Sold (part)	03/08/11	J	A	Market
12.					Distributed	06/17/11	J		Market
13. Matthews Asian Grth & Income Instl (comment 4)	A	Int./Div.	J	T	Spinoff (from line 12)	06/17/11	J		Market
14.	A	Distribution	J	T					
15. DFA Inflation Protected Securities Fund	B	Int./Div.	K	T	Sold (part)	01/12/11	J	A	Market
16.					Buy (add'l)	04/20/11	J		Market
17. DFA Intermediate Govt Fixed Income Portfolio		None	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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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.					Buy	12/27/11	K		Market
19.	DFA US Large Cap Value Portfolio	A	Dividend	J	T				
20.	DFA US Targeted Value Portfolio	A	Dividend		Sold	08/08/11	K	B	Market
21.	PIMCO Total Return Fund	D	Int./Div.	M	T	Buy (add'l)	01/03/11	J	Market
22.					Buy (add'l)	01/12/11	J		Market
23.					Buy (add'l)	02/01/11	J		Market
24.					Sold (part)	02/10/11	J		Market
25.					Buy (add'l)	03/01/11	J		Market
26.					Buy (add'l)	04/01/11	J		Market
27.					Buy (add'l)	05/02/11	J		Market
28.					Buy (add'l)	06/01/11	J		Market
29.					Buy (add'l)	07/01/11	J		Market
30.					Buy (add'l)	08/01/11	J		Market
31.					Buy (add'l)	09/01/11	J		Market
32.					Buy (add'l)	09/06/11	J		Market
33.					Buy (add'l)	10/03/11	J		Market
34.					Buy (add'l)	11/01/11	J		Market

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35.					Buy (add'l)	12/01/11	J		Market
36.					Buy (add'l)	12/29/11	J		Market
37. DFA International Small Cap Value Fund	A	Dividend			Sold	08/09/11	J	B	Market
38. DFA US Core Equity 2	B	Int./Div.	L	T	Sold (part)	08/11/11	K	B	Market
39.					Buy (add'l)	09/07/11	J		Market
40. DFA US Targeted Value Portfolio		None			Sold (part)	04/26/11	J	B	Market
41.					Sold	08/10/11	K	D	Market
42. iShares S&P Global Energy Sector Fund	A	Dividend	J	T					
43. DFA Emerging Markets Core Equity Portfolio	A	Dividend	J	T	Sold (part)	04/26/11	J	A	Market
44. Templeton Income Global Bond Advisor	B	Int./Div.	K	T					
45. Matthews Intl Pacific Tiger Fund		None			Sold	03/08/11	J	A	Market
46. iShares S&P 500 Index	A	Dividend	K	T	Buy (add'l)	01/12/11	J		Market
47. TD Bank NA	A	Interest	J	T					
48. Mutual Global Discovery Fund-Z (X)	A	Int./Div.	K	T					
49. Mutual Beacon Fund-Z (X)	A	Int./Div.	K	T					
50. Loans to Trust 2 (comment 3)	A	Int./Div.	K	T	Buy	09/13/11	J		Trust 2
51.					Buy	10/05/11	J		Trust 2

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52.					Buy	10/17/11	J		Trust 2
53.					Buy	11/21/11	J		Trust 2
54.					Buy	12/12/11	J		Trust 2
55.					Buy	12/27/11	J		Trust 2
56. Powershares DB Oil Fund		None			Buy	02/10/11	J		Market
57.					Sold	04/15/11	J	B	Market
58. Powershares DB Comm Ind Fd		None	J	T	Buy	03/09/11	J		Market
59.					Buy (add'l)	03/14/11	J		Market
60. iShares MSCI Brazil Ind Fd	A	Int./Div.	J	T	Buy	01/05/11	J		Market
61.	A	Distribution							
62. DFA Select Hedge Gbl Fixed Income	A	Int./Div.	J	T	Buy	04/26/11	K		Market
63. SPDR Gold Tr Gold SHS		None			Buy	08/15/11	K		Market
64.					Sold	08/26/11	K	A	Market
65. DFA Sht Term Extd Quality	A	Dividend			Buy	09/06/11	K		Market
66.					Sold	12/22/11	K		Market
67. DFA US Large Co Portfolio	A	Dividend	K	T	Buy	09/26/11	K		Market

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

1. Trust 1 was established in 1995. I am a co-trustee and beneficiary. It acquired the deed of trust in 2008 as explained in last year's report. The underlying property was sold in 2012 and the sale will be reported next year. However, the actual sales price is the basis for reducing the value of this item in 2011 as well as the lot described in line 8 of Part VII.
2. Trust 2 is a revocable trust of which I became trustee upon the death of the settlor/trustee in November 2010. All assets of the trust were sold and the proceeds distributed in 2012 and the trust closed. These events will be reported on the 2012 form.
3. I made loans to Trust 2 for the upkeep of the trust property pending sale. These are listed as "Buy". All loans were repaid in 2012 and will be reported then.
4. This transaction is described in my records as a "non taxable exchange" from the Fund on Line 11 to the Fund on Line 13, leaving only a holding in the Fund on line 13.

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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/ Charles G. Case II

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