

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>TICE, Jr., Douglas O.                                                                                                                | <b>2. Court or Organization</b><br><br>USBC-EDVA                                                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>05/01/2013                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Bankruptcy Judge                                                         | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>701 East Broad Street, Fifth Floor<br>Richmond, Virginia 23219-1888                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Director, Assistant Secretary (elected 2006) | The Historical Society of the U.S. District Court for the Eastern District of VA., Inc. |
| 2. Director (elected 2009)                      | Federal Bar Association (Richmond Chapter)                                              |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                    | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|-------------------------------------------|----------------------------------------|
| 1. 1/10/12  | Matthew Bender & Co. Inc. - Author's Fees | \$160.00                               |
| 2. 1/18/12  | Richmond Discoveries - Author's Royalties | \$453.00                               |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> |
|-------------|------------------------|
| 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.)*

| <u>SOURCE</u>                               | <u>DATES</u> | <u>LOCATION</u>  | <u>PURPOSE</u>            | <u>ITEMS PAID OR PROVIDED</u>                   |
|---------------------------------------------|--------------|------------------|---------------------------|-------------------------------------------------|
| 1. No. Va. Bankruptcy Bar Assoc             | 02/15-16/12  | Falls Church, VA | Bar Assoc Program Speaker | food & lodging - CLE Speaker for subject matter |
| 2. W&M Moot Ct Competition                  | 02/17-18/12  | Williamsburg, VA | W&M Moot Court Board      | food & lodging                                  |
| 3. Richmond Bar Assoc                       | 03/15/12     | Richmond, VA     | Bar Assoc Program         | food - hosted table                             |
| 4. National Conference of Bankruptcy Judges | 03/19-20/12  | Miami, FL        | Committee Meeting         | transportation, lodging, food                   |
| 5. Richmond Bar Assoc                       | 05/1/12      | Richmond, VA     | Bar Assoc Law Day Program | food - hosted table at Law Day program          |
| 6. Richmond Bar Assoc                       | 09/20/12     | Richmond, VA     | Bar Assoc Program         | food - hosted table                             |

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|     |                                             |             |               |                                         |                               |
|-----|---------------------------------------------|-------------|---------------|-----------------------------------------|-------------------------------|
| 7.  | Richmond Bar Assoc -<br>Bankruptcy Sec.     | 09/27/12    | Richmond, VA  | Bankr. Sec Bar Assoc<br>Program Speaker | food                          |
| 8.  | Richmond Metropolitan Area<br>Bar Assocs    | 10/18/12    | Richmond, VA  | Bench-Bar Conference                    | food                          |
| 9.  | National Conference of<br>Bankruptcy Judges | 10/24-27/12 | San Diego, CA | Committee & Annual<br>Board Meetings    | transportation, lodging, food |
| 10. | Richmond Moot Ct<br>Competition             | 11/17/12    | Richmond, VA  | Richmond Moot Court<br>Board            | food                          |

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                        |   |           |   |   |             |          |   |  |  |
|--------------------------------------------------------|---|-----------|---|---|-------------|----------|---|--|--|
| 1. Checking Account SunTrust Bank, Richmond, VA        | A | Interest  | J | T |             |          |   |  |  |
| 2. MoneyMarketAcct Sun Trust Bank, Richmond VA         | B | Interest  | L | T |             |          |   |  |  |
| 3. Ridgeworth Prime Quality MoneyMarket Acct           |   | None      | J | T |             |          |   |  |  |
| 4. TransAmerica Life Ins. Co. Annuity                  |   | None      | M | T |             |          |   |  |  |
| 5. Manulife Financial Corp. Common Stock               | A | Dividend  | K | T |             |          |   |  |  |
| 6. RBC Wealth Management Brokerage MoneyMktAcct        | A | Int./Div. | J | T |             |          |   |  |  |
| 7. Met Life Common Stock                               | A | Dividend  | J | T |             |          |   |  |  |
| 8. Alliant Tech Systems Common Stock                   |   | None      | J | T |             |          |   |  |  |
| 9. IRA - Mass. Investors Trust                         | A | Dividend  | K | T |             |          |   |  |  |
| 10. TransAmerica Life Occidental whole life ins policy | A | Interest  | K | T |             |          |   |  |  |
| 11. John Hancock Life Ins (USA) whole life ins         | A | Dividend  | J | T |             |          |   |  |  |
| 12. Northwestern Mutual whole life ins policy          | A | Interest  | J | T |             |          |   |  |  |
| 13. Trust [See Note, Part VIII]                        | E | Int./Div. | O | T |             |          |   |  |  |
| 14. --Met Life Annuity                                 |   |           |   |   | Buy (add'l) | 01/04/12 | M |  |  |
| 15. --Money Market Acct First Community Bank           |   |           |   |   |             |          |   |  |  |
| 16. --Discover CD                                      |   |           |   |   |             |          |   |  |  |
| 17. -VA Commonwealth Bank CD                           |   |           |   |   |             |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                 |  |  |  |  |  |  |  |  |  |
|---------------------------------|--|--|--|--|--|--|--|--|--|
| 18. -- Exxon Mobil Common Stock |  |  |  |  |  |  |  |  |  |
|---------------------------------|--|--|--|--|--|--|--|--|--|

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

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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/ Douglas O. TICE, Jr.**

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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