

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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>Novack, Charles D.                                                                                                                                                         | <b>2. Court or Organization</b><br><br>Bankruptcy Court, Northern District of California                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>08/07/2012                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>United States Bankruptcy Court 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>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>Robert F. Peckham Federal Building<br>and United States Courthouse<br>280 S. First Street, Room 3035<br>San Jose, CA 95113                                                                          |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information. Insert signature on last page.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. \_\_\_\_\_
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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Novack, Charles D.

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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. 2011     | Law Office of Charles Novack (gross) | \$5,305.96                             |
| 2. 2011     | The Rutter Group - teaching          | \$1000.00                              |
| 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. 2011     | Self-employed attorney |
| 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.                             |                             |                          |                                           |                               |
| 2. California Bankruptcy Forum | May 20, 2011 - May 22, 2011 | Squaw Valley, California | Attendance at California Bankruptcy Forum | Food and 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. |                 | tuition            | None              |
| 2. | Nordstrom Bank  | credit card        | None              |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

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Name of Person Reporting

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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. IRA #1                      | D | Int./Div. | O | T |                |          |   |  |  |
| 2. - Schwab Cash and Money Mkt |   |           |   |   | Sold<br>(part) | 01/12/11 | J |  |  |
| 3.                             |   |           |   |   | Buy<br>(add'l) | 01/18/11 | J |  |  |
| 4.                             |   |           |   |   | Sold<br>(part) | 02/23/11 | J |  |  |
| 5.                             |   |           |   |   | Buy<br>(add'l) | 02/25/11 | J |  |  |
| 6.                             |   |           |   |   | Sold<br>(part) | 03/02/11 | J |  |  |
| 7.                             |   |           |   |   | Sold<br>(part) | 04/12/11 | J |  |  |
| 8.                             |   |           |   |   | Buy<br>(add'l) | 05/16/11 | K |  |  |
| 9.                             |   |           |   |   | Sold<br>(part) | 05/17/11 | K |  |  |
| 10.                            |   |           |   |   | Sold<br>(part) | 05/19/11 | J |  |  |
| 11.                            |   |           |   |   | Sold<br>(part) | 07/06/11 | J |  |  |
| 12.                            |   |           |   |   | Buy<br>(add'l) | 08/03/11 | K |  |  |
| 13.                            |   |           |   |   | Sold<br>(part) | 08/05/11 | J |  |  |
| 14.                            |   |           |   |   | Sold<br>(part) | 08/08/11 | K |  |  |
| 15.                            |   |           |   |   | Buy<br>(add'l) | 08/09/11 | J |  |  |
| 16.                            |   |           |   |   | Sold<br>(part) | 08/12/11 | J |  |  |
| 17.                            |   |           |   |   | Buy<br>(add'l) | 08/17/11 | K |  |  |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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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## 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 I<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. |                                          |  |  |  | Buy<br>(add'l) | 09/16/11 | J |  |  |
| 19. |                                          |  |  |  | Buy<br>(add'l) | 09/19/11 | J |  |  |
| 20. |                                          |  |  |  | Buy<br>(add'l) | 09/20/11 | J |  |  |
| 21. |                                          |  |  |  | Buy<br>(add'l) | 09/30/11 | J |  |  |
| 22. |                                          |  |  |  | Sold<br>(part) | 10/12/11 | J |  |  |
| 23. |                                          |  |  |  | Sold<br>(part) | 11/03/11 | K |  |  |
| 24. | - Oppenheimer Developing Markets Fd A    |  |  |  | Buy<br>(add'l) | 05/16/11 | J |  |  |
| 25. |                                          |  |  |  | Sold           | 08/11/11 | K |  |  |
| 26. | -Accenture PLC Class A                   |  |  |  |                |          |   |  |  |
| 27. | -Becton Dickinson Co. (common)           |  |  |  |                |          |   |  |  |
| 28. | - Bank of Nova Scotia (common)           |  |  |  |                |          |   |  |  |
| 29. | - CH Robinson Worldwide, Inc. (common)   |  |  |  |                |          |   |  |  |
| 30. | -Colgate Palmolive Co. (common)          |  |  |  |                |          |   |  |  |
| 31. | -Canadian National Railways Co. (common) |  |  |  |                |          |   |  |  |
| 32. | -Dover Corp. (common)                    |  |  |  |                |          |   |  |  |
| 33. | -Factset Research System, Inc. (common)  |  |  |  |                |          |   |  |  |
| 34. | -Grainger WW, Inc. (common)              |  |  |  |                |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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) |

|                                            |  |  |  |  |                |          |   |  |  |
|--------------------------------------------|--|--|--|--|----------------|----------|---|--|--|
| 35. -Hormel (common)                       |  |  |  |  |                |          |   |  |  |
| 36. -Johnson & Johnson (common)            |  |  |  |  | Sold           | 02/17/11 | J |  |  |
| 37. - Magellan Midstream Partners (common) |  |  |  |  | Buy            | 02/25/11 | J |  |  |
| 38.                                        |  |  |  |  | Buy<br>(add'l) | 05/16/11 | J |  |  |
| 39. -McDonalds Corp. (common)              |  |  |  |  |                |          |   |  |  |
| 40. - Metronic, Inc. (common)              |  |  |  |  | Buy            | 02/17/11 | K |  |  |
| 41. -Nike, Inc. (common)                   |  |  |  |  |                |          |   |  |  |
| 42. -Novo - Nordisk as ADR                 |  |  |  |  |                |          |   |  |  |
| 43. - Pepsico, Inc. (common)               |  |  |  |  | Sold           | 10/31/11 | J |  |  |
| 44. - Permanent Portfolio Fund             |  |  |  |  | Buy            | 08/11/11 | K |  |  |
| 45. -Praxair, Inc. (common)                |  |  |  |  |                |          |   |  |  |
| 46. -TJX Companies (common)                |  |  |  |  |                |          |   |  |  |
| 47. -T. Rowe Price Group (common)          |  |  |  |  |                |          |   |  |  |
| 48. - United Technologies Corp. (common)   |  |  |  |  | Sold           | 10/31/11 | K |  |  |
| 49. - Walgreen Company (common)            |  |  |  |  | Buy            | 10/31/11 | K |  |  |
| 50. - Xilinx, Inc. (common)                |  |  |  |  | Buy            | 10/31/11 | K |  |  |
| 51. - Templeton Global Bond Fund A         |  |  |  |  | Buy<br>(add'l) | 05/03/11 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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| 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 | P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | L = \$50,001 - \$100,000<br>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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Name of Person Reporting

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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) |
| 52.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/16/11                | J                               |                                |                                                                   |
| 53.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/31/11                | K                               |                                |                                                                   |
| 54. - Vanguard Emerging Market                                                                                              |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/16/11                | J                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/11/11                | K                               |                                |                                                                   |
| 56. - Vanguard Short Term Investment Grade Fund                                                                             |                                         |                                               |                                                 |                                           | Sold                                            | 08/01/11                | K                               |                                |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/16/11                | J                               |                                |                                                                   |
| 58. -Vanguard Intermediate Term Investment Fund                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 59. -Vanguard Inflation Protected Securities FD                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 60. - Vanguard Corp. Bond ETF Short-Term Corp. Bond                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 10/31/11                | K                               |                                |                                                                   |
| 61. - Vanguard Bond Index Fund                                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 10/31/11                | K                               |                                |                                                                   |
| 62. - Brown Cap. Management Small Co. Fund Inst. C1                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/11/11                | J                               |                                |                                                                   |
| 63. -First Eagle Overseas Fund CL A                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 64. - T. Rowe Price Emerging Markets Fund                                                                                   |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/03/11                | J                               |                                |                                                                   |
| 65. - T. Rowe Price New Era Fund                                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 08/11/11                | K                               |                                | See notes in Part VIII                                            |
| 66. - Pimco Corp. Income Fund                                                                                               |                                         |                                               |                                                 |                                           | Buy                                             | 08/01/11                | J                               |                                |                                                                   |
| 67.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/02/11                | J                               |                                |                                                                   |
| 68.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/03/11                | K                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 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) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/12/11                | J                               |                                |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/13/11                | J                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/14/11                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/26/11                | J                               |                                |                                                                   |
| 73. IRA #2                                                                                                                  | D                                       | Int./Div.                                     | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. -Schwab Adv. Cash Reserve                                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/23/11                | J                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/02/11                | J                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/06/11                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/05/11                | J                               |                                |                                                                   |
| 78.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/08/11                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/15/11                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/17/11                | J                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/16/11                | J                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/19/11                | J                               |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/20/11                | J                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/03/11                | J                               |                                |                                                                   |
| 85.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/03/11                | K                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 \$5,000,000 | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

Novack, Charles D.

Date of Report

08/07/2012

## 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      |                         |                                 |                                |                                                                   |
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|                                                                                                                             | (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) |

|                                                  |  |  |  |  |                |          |   |  |  |
|--------------------------------------------------|--|--|--|--|----------------|----------|---|--|--|
| 86.                                              |  |  |  |  | Buy<br>(add'l) | 11/15/11 | J |  |  |
| 87. - Accenture PLC Class A                      |  |  |  |  | Sold<br>(part) | 02/25/11 | J |  |  |
| 88. - Beckton Dickerson Co. (common)             |  |  |  |  |                |          |   |  |  |
| 89. - Bank of Nova Scotia (common)               |  |  |  |  | Sold<br>(part) | 02/25/11 | J |  |  |
| 90. - C H Robinson Worldwide, Inc. (common)      |  |  |  |  |                |          |   |  |  |
| 91. - Canadian National Railways Co.<br>(common) |  |  |  |  |                |          |   |  |  |
| 92. - Colgate Palmolive Co. (common)             |  |  |  |  |                |          |   |  |  |
| 93. - Dover Corp. (common)                       |  |  |  |  | Sold<br>(part) | 02/25/11 | J |  |  |
| 94. - Factset Research, Inc. (common)            |  |  |  |  |                |          |   |  |  |
| 95. - Grainger WW, Inc. (common)                 |  |  |  |  |                |          |   |  |  |
| 96. - Hormel (common)                            |  |  |  |  |                |          |   |  |  |
| 97. - Johnson & Johnson (common)                 |  |  |  |  | Sold           | 02/17/11 | J |  |  |
| 98. - Magellan Midstream Partners                |  |  |  |  | Buy            | 02/25/11 | J |  |  |
| 99. - McDonalds Corp. (common)                   |  |  |  |  |                |          |   |  |  |
| 100. - Medtronic, Inc. (common)                  |  |  |  |  | Buy            | 02/17/11 | J |  |  |
| 101. - Nike, Inc. (common)                       |  |  |  |  |                |          |   |  |  |
| 102. - Novo Nordisk as ADR                       |  |  |  |  | Sold<br>(part) | 02/25/11 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 \$5,000,000 | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

Date of Report

08/07/2012

## 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) |

|                                     |  |  |  |  |                |          |   |  |  |
|-------------------------------------|--|--|--|--|----------------|----------|---|--|--|
| 103. - Pepsico, Inc. (common)       |  |  |  |  | Sold           | 10/31/11 | K |  |  |
| 104. - Permanent Portfolio Fund     |  |  |  |  | Buy            | 08/11/11 | K |  |  |
| 105. - Pimco Corp. Income Fund      |  |  |  |  | Buy            | 08/01/11 | J |  |  |
| 106.                                |  |  |  |  | Buy<br>(add'l) | 08/02/11 | J |  |  |
| 107.                                |  |  |  |  | Buy<br>(add'l) | 08/03/11 | J |  |  |
| 108.                                |  |  |  |  | Sold<br>(part) | 09/14/11 | J |  |  |
| 109.                                |  |  |  |  | Sold<br>(part) | 09/15/11 | J |  |  |
| 110.                                |  |  |  |  | Sold           | 09/27/11 | J |  |  |
| 111. - Praxair, Inc. (common)       |  |  |  |  |                |          |   |  |  |
| 112. - T. Rowe Price Group (common) |  |  |  |  |                |          |   |  |  |
| 113. - TJX Companies (common)       |  |  |  |  |                |          |   |  |  |
| 114. - United Technologies (common) |  |  |  |  | Sold           | 10/31/11 | J |  |  |
| 115. - Vanguard Bond Index Fund     |  |  |  |  | Buy            | 10/31/11 | J |  |  |
| 116.                                |  |  |  |  | Buy<br>(add'l) | 10/31/11 | J |  |  |
| 117. - Vanguard Corporate Bond ETF  |  |  |  |  | Buy            | 10/31/11 | J |  |  |
| 118.                                |  |  |  |  | Buy<br>(add'l) | 11/10/11 | K |  |  |
| 119. - Vanguard Emerging Market     |  |  |  |  | Sold           | 08/11/11 | J |  |  |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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                                            |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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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.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (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) |
| 120. - Brown Cap. Management Small Co. Fund<br>Inst. C1                                                                     |                                         |                                               |                                                 |                                           | Sold                                            | 08/11/11                | J                               |                                |                                                                   |
| 121. - First Eagle Overseas Fund CL A                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 122. - Oppenheimer Developing Markets                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 08/11/11                | J                               |                                |                                                                   |
| 123. - T. Rowe Price - Emerging Markets Fund                                                                                |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/03/11                | J                               |                                |                                                                   |
| 124. - T. Rowe Price New Era Fund                                                                                           |                                         |                                               |                                                 |                                           | Sold                                            | 08/11/11                | J                               |                                | See Notes in Part VIII                                            |
| 125. - Templeton Global Bond Fund                                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 05/03/11                | J                               |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/31/11                | J                               |                                |                                                                   |
| 127. - Vanguard S/T Investment Fund                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/01/11                | J                               |                                |                                                                   |
| 128.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/10/11                | K                               |                                |                                                                   |
| 129. - Vanguard Intermediate Term Investment<br>Fund                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 130. - Vanguard Inflation Protected Securities FD                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 131. - XILINX, Inc. (common)                                                                                                |                                         |                                               |                                                 |                                           | Buy                                             | 10/31/11                | J                               |                                |                                                                   |
| 132. - Walgreen, Inc. (common)                                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 10/31/11                | J                               |                                |                                                                   |
| 133. U.S Savings Bonds Type E                                                                                               | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134. Wells Fargo Bank Accounts                                                                                              | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135. Bank of America Account                                                                                                | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. Cornell of California - Attorneys' Fee<br>Awarded                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (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) |
| 137. Attorneys' Fees                                                                                                        |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 138. Fidelity Value Fund                                                                                                    | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 139. Fidelity Cash Reserves                                                                                                 | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 140. RBC Wealth Management U.S. Govt Money<br>Market Account                                                                | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 141. Vanguard 500 Index IRA # 3                                                                                             | B                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 142. Fidelity Cal. Muni Market                                                                                              | A                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 143. Schwab Adv. Cash Reserve                                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 08/12/11                | J                               |                                |                                                                   |
| 144. Brown Cap. Mgmt.                                                                                                       |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 08/11/11                | J                               | A                              |                                                                   |
| 145. UBS Cash Fund                                                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146. Fidelity Blue Chip Growth                                                                                              | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. Fidelity Growth Strategies Fund                                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novaek, Charles D.

Date of Report

08/07/2012

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

Notes Re: Part VII

T. Rowe Price New Era Fund was purchased in IRA 1 and 3 on December 10, 2010, and was inadvertently omitted from the 2010 financial report. The transactions reported in this report sold the entire position in both IRAs.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Novack, Charles D.

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08/07/2012

## 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 D. Novack**

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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