

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

1. Person Reporting (last name, first, middle initial) BROOKS, SIDNEY B.	2. Court or Organization U.S. BANKRUPTCY COURT	3. Date of Report 8/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. BANKRUPTCY JUDGE ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. BANKRUPTCY COURT 721 19TH STREET, ROOM 560 DENVER CO 80202-2508		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	CO-TRUSTEE	██████████ TRUST #3
2.	TRUSTEE	██████████ TRUST #1
3.	ADVISOR	WORLD BANK INSOLVENCY INSTITUTE
4.	ADVISOR	U.S. RUSSIA FOUNDATION
5.	TRUSTEE	NANDA CENTER FOR INTERNATIONAL AND COMPARATIVE LAW

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. VARIOUS	Management fees as Trustee [REDACTED] Trust #1	\$5,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2013	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. U.S. RUSSIA FOUNDATION	March 1-9, 2013	New York, NY	Moscow State University/ U.S. Russia Foundation's Insolvency Program	Transportation, lodging and meals
2. U.S. RUSSIA FOUNDATION	May 11-22, 2013	St. Petersburg and Moscow, Russia	Third Annual Saint Petersburg International Legal Forum	Transportation, lodging, and meals
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.)*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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ENT CU Checking account	A	Interest	J	T					
2. JP Morgan Chase Bank accounts	A	Interest	J	T					
3. 5.44% Colfax LLC, Real Property Denver, CO	B	Rent	K	W					
4. Rental property #1 Silverthorne, CO	D	Rent	M	W					
5. 8.3% Interest real property, Frisco, CO	A	Rent	K	W					
6. .521% Interest Broadway LLC, Real Prop Denver, CO	A	Rent	J	W					
7. 5.99% Interest Melbro, Real Property Denver, CO	A	Rent	J	W					
8. Rental property #2, Denver, CO	D	Rent	O	W					
9. IRA: Fidelity	A	Int./Div.	K	T					
10. -BRKB									
11. -FDRXX									
12. -PEO					Buy (add'l)	12/27/13	J		
13. [REDACTED] Wells Fargo Bank Acct	A	Interest	N	T					
14. [REDACTED] Employer Retirement Vanguard Target 2015	A	Dividend			Sold	06/30/13	K	A	
15. [REDACTED] Employer Ret Vanguard Target 2025	D	Dividend	M	T	Buy (add'l)	12/31/13	M		
16. [REDACTED] IRA: Fidelity	D	Int./Div.	N	T					
17. -FINFX					Buy (add'l)	12/19/13	J		

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

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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

18. -SGENX					Buy (add'l)	12/18/13	J		
19. -FPACX					Buy (add'l)	12/19/13	J		
20. -AIG									
21. -BRKB									
22. -GE									
23. -PWE									
24. -PFE									
25. -RSG									
26. -JOE									
27. -AMEFX					Buy (add'l)	12/23/13	J		
28. -FAIRX					Buy (add'l)	12/27/13	J		
29. -WFC									
30. -KYNPRD					Sold	05/13/13	J		
31. -FDLXX									
32. -KYNPRE					Buy	06/14/13	J		
33. -NTXPRC					Buy	10/24/13	J		
34. XXXX Personal Acct: Fid: FTEXX	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Trust #1: Trustee, No beneficial interest	C	Rent	N	W					
36. -50% Int real property, Frisco, CO									
37. -3.125% Int Broad LLC, Denver, CO									
38. -14.06% Interest Bannock St LLC Denver, CO									
39. Trust #1: Trustee, No beneficial interest	F	Int./Div.	P2	T					
40. -ICAFX					Buy (add'l)	12/24/13	J		
41. -AIVSX					Buy (add'l)	12/24/13	J		
42. -Key Bank Account									
43. -WMFFX					Buy (add'l)	12/23/13	J		
44. -TESIX					Buy (add'l)	12/24/13	J		
45. -AMBFX					Buy (add'l)	12/20/13	J		
46. -BKRA									
47. - Fed Nat Mtg Assn Debs coup 5/16									
48. -Fed Home Loan Mtg Corp 3/18									
49. - Fin Corp CPN FICO Strip 6/18									
50. - Fin Corp CPN FICO Strips 12/18									
51. - Fed Jud Off Bldg TR Zero 2/19									

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -Fed Home Ln Mtg Corp CPN 3/19									
53. -Natl Mtg Deb Gen Int Pmt7/19									
54. - Res. Fdg Corp Fed Bk Ent CPN 7/19									
55. -Res FDG Fed Bk Int Pmt 10/20									
56. - Tenn Vy Fed Bk Entry Gen 11/20									
57. -Stnt Ln Mktg Asn Zero CPN 10/22									
58. -CEE					Buy (add'l)	01/29/13	J		
59. -PEO					Buy (add'l)	12/27/13	K		
60. -Florida PW & LT 2/13					Sold	02/01/13	J	A	
61. -CAIFX					Buy (add'l)	12/30/13	J		
62. -SWZ					Buy (add'l)	07/29/13	J		
63. - RPIBX					Buy (add'l)	12/31/13	J		
64. -FRUAX					Buy (add'l)	12/04/13	J		
65. -FAIRX					Buy (add'l)	12/27/13	J		
66. -W/M Wrigley Jr Co Notes 7/15									
67. - Bank of the West Account									
68. -FDLXX									

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69. Trust #3: Trustee, no beneficial interest	A	Rent	K	W					
70. - 8.33% Int real property, Frisco, CO									
71. -.521% Int Broadway LLC, Denver, CO									
72. Trust #3: Trustee, no beneficial interest	A	Int./Div.	O	T					
73. -American Wash Mutual Investors A					Buy (add'l)	12/23/13	J		
74. -Wells Fargo: FCISX									
75. -Wells Fargo Cash Fund-									
76. - FAIRX					Buy (add'l)	12/27/13	J		
77. -SGENX					Buy (add'l)	12/18/13	J		
78. -DODFX					Buy (add'l)	12/19/13	J		
79. -FDLXX					Sold (part)	12/20/13	K	A	
80.									
81.									
82.									
83.									
84.									
85.									

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86.									
87.									
88.									
89.									
90.									
91.									
92.									
93.									
94.									
95.									
96.									

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

I. POSITIONS (continued)

6. TRUSTEE UNIVERSITY OF DENVER, STURM COLLEGE OF LAW ALUMNI COUNCIL
7. TRUSTEE ROTARY CLUB OF DENVER FOUNDATION

PART VII. INVESTMENTS AND TRUSTS (continued with additional, explanatory information)

The data included under this Part VII has been submitted in a different format from that which was previously used on my disclosure reports. Specifically, we have used aggregate reporting for certain accounts to provide a clearer picture of the information provided and to avoid any misinterpretation in the disclosure of my finances. My accountant previously discussed this change in format with Kristina at the Administrative Office.

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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/ **SIDNEY B. BROOKS**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544