

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) WEISSBRODT, ARTHUR S.	2. Court or Organization U.S. BANKRUPTCY COURT, N.D. CA	3. Date of Report 07/21/2014
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 1/1/2013 to 12/31/2013
7. Chambers or Office Address United States Bankruptcy Court 280 S. First Street, Rm. 3035 San Jose, CA 95113		
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.)

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Part-time Professor, Lincoln Law School of San Jose	\$3,750.00
2. 12/24/2013	IRA Death Distribution	\$4,251.00
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. 2013	Retirement income
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.				
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.		
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. Lot, Rehoboth, DE (bought 1987 for \$42,500)		None	K	R					
2. Lot, Atl. City, NJ (bought 1988 for \$5000)		None	J	R					
3. Capital One Account	A	Interest	J	T					
4. Merrill Lynch, CMAS, part IRA	A	Int./Div.	J	T					Cash MMF Only
5. T. Rowe Price Prime Reserve MMA	A	Dividend	L	T					cash MMA only
6. Wells Fargo Bank Accounts	A	Interest	N	T					
7. Treasury Bonds, part IRA	A	Interest	J	T	Redeemed (part)	04/25/13	J		
8. T. Rowe Price Growth & Inc. MF - IRA	A	Dividend	L	T					
9. Meriwest Credit Union Account		None	J	T					
10. McDonald's Corp Common	D	Dividend	M	T					
11. Fidelity Magellan Fund - IRA	A	Dividend	K	T					
12. Fidelity Independence Fund - IRA	A	Dividend	K	T					
13. Schwab MMFs and Schwab Bank	A	Int./Div.	M	T					Cash MMF & bank accts only
14. Invesco Energy MF	A	Dividend	K	T					
15. Black Rock Muniyield CA	A	Dividend	J	T					
16. Invesco Diverse Dividends MF	A	Dividend	J	T					
17. Invesco European Growth Fd.	A	Dividend	J	T					

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

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☐ 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. Intel Common	A	Dividend	J	T					
19. Oracle Common	A	Dividend	K	T					
20. Johnson & Johnson Common	A	Dividend	K	T					
21. Schlumberger Common	A	Dividend	K	T					
22. Transocean Inc. Common	A	Dividend	J	T					
23. Linear Tech Common	A	Dividend	J	T					
24. Maxim Common	A	Dividend	J	T					
25. Dell Common	A	Dividend			Sold	10/30/13	J		
26. Fidelity Spartan U.S. Equity Index - IRA	A	Dividend	J	T					
27. Chase Bank account	A	Interest	K	T					
28. Amgen Common	A	Dividend	L	T					
29. Pfizer Common	A	Dividend	J	T					
30. Prologis Trust REIT	A	Interest	J	T					
31. Zimmer Holdings Common	A	Dividend	J	T					
32. Morgan Stanley Smith Barney brokerage accounts - part IRA:		None							
33. - AT&T Common -- IRA	A	Dividend	J	T					
34. - Energizer Hldgs. Common - IRA	A	Dividend	J	T	Buy	05/22/13	J		

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35. - NY Comm. VCV - IRA	A	Interest	J	T					
36. - Amazon Common- IRA		None	J	T					
37. - American Express Common - IRA	A	Dividend	J	T					
38. - Marriott Common - IRA	A	Dividend	J	T					
39. - Team Health Hlds - IRA		None	J	T					
40. - Duke Energy New - IRA	A	Dividend			Sold	03/01/13	J	A	
41. - Goldman Sachs Floating PFD - IRA	A	Dividend	J	T					
42. - Ingredion Inc. - IRA		None			Sold	01/28/13	J	B	
43. - Morgan Stanley Private Bank	A	Interest	J	T					
44. - MS Liquid Asset Fd - IRA	A	Dividend	J	T					
45. - Metlife Floating Rate - IRA		None			Sold	01/28/13	J	C	
46. - Fact Set Research Sys - IRA	A	Dividend	J	T					
47. - Bunge Ltd. Common - IRA	A	Dividend	J	T	Buy	01/28/13	J		
48. - Allergan Common - IRA	A	Dividend	J	T					
49. - Questar Corp. Common - IRA	A	Dividend	J		Buy	01/28/13	J		
50. - Google Common - IRA		None	J	T					
51. - Halliburton Common - IRA	A	Dividend	J	T					

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52. - Hershey Common - IRA	A	Dividend	J	T	Buy	01/28/13	J		
53. - Valspar Corp - IRA	A	Dividend			Sold	12/19/13	J	A	
54. - CVS Caremark - IRA	A	Dividend	J	T					
55. - PG&E Corp - IRA	A	Dividend	J	T					
56. - Iron Mountain - IRA	A	Dividend	J	T					
57. - Priceline - IRA		None			Sold	03/13/13	J	A	
58. - United Rentals - IRA		None	J	T					
59. - TE Connectivity Common - IRA	A	Dividend	J	T					
60. GE Capital Bank	C	Interest	M	T					
61. Star One Credit Union Account	A	Interest	L	T					
62. California State Bond	A	Dividend	J	T					

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

Line 7 --- As of April 25, 2013, Legacy Treasury Direct stopped selling Treasury bills and redeemed our previous investments.

Line 33 -- I mistakenly reported last year that AT&T had been sold in December 2012. Only a portion had been sold, and I retain the rest.

Line 43 -- Citibank CD account closed by Morgan Stanley 7/30/13, and replaced by Morgan Stanley Private Bank.

Line 60 -- GE Capital Bank bought Metlife Bank 01/12/13. Account name changed, but still owned by reporting person.

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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/ ARTHUR S. WEISSBRODT**

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