

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Hammond, Mary E.	2. Court or Organization US BANKRUPTCY COURT - NORTHERN DISTRICT OF CALIFORNIA	3. Date of Report 08/29/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) BANKRUPTCY JUDGE (FULL-TIME)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 07/31/2012
7. Chambers or Office Address 1300 CLAY STREET COURTROOM 215 OAKLAND, CA 94612		
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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. LIMITED PARTNER	FRIEDMAN DUMAS & SPRINGWATER, LLP
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2011	FRIEDMAN DUMAS & SPRINGWATER, LLP AGREEMENT, RESIGNED 12/31/2011
2. 2011	FRIEDMAN DUMAS & SPRINGWATER, LLP AGREEMENT, WITHDRAWN 06/30/2012
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. 2010	FRIEDMAN DUMAS & SPRINGWATER, LLP PARTNERSHIP INCOME	\$293,604.00
2. 2011	FRIEDMAN DUMAS & SPRINGWATER, LLP PARTNERSHIP INCOME	\$159,322.00
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. 2010	SALARY AT APPLE, INC.
2. 2011	SALARY AT APPLE INC.
3. 2012	SALARY AT APPLE INC.
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. EXEMPT				
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.	EXEMPT		
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. WELLS FARGO CHECKING ACCOUNT	A	Interest	J	T	Exempt				
2. ALLY BANK CD	A	Interest			Exempt				
3. APPLE STOCK (COMMON)		None	O	T	Exempt				
4. 401K #1	C	Dividend	N	T	Exempt				
5. - THIRD AVENUE REAL ESTATE VALUE INSTL					Exempt				
6. - VANGUARD WINDSOR II ADM					Exempt				
7. - VANGUARD INSTITUTIONAL INDEX INSTL PL					Exempt				
8. - VANGUARD TOTAL STOCK MARKET INDEX INSTL					Exempt				
9. - FIDELITY CONTRAFUND					Exempt				
10. - NUVEEN NWQ SMALL CAP VALUE I					Exempt				
11. - VANGUARD SMALL CAP INDEX INSTL					Exempt				
12. - VANGUARD EXPLORER / ADMRL					Exempt				
13. - DODGE & COX INTERNATIONAL STOCK					Exempt				
14. - VANGUARD DEVELOPED MARKETS INDEX INSTL					Exempt				
15. 401K #2	A	Dividend			Exempt				
16. - AMERICAN CENTURY REAL ESTATE CLASS A					Exempt				
17. - DREYFUS EMERGING MARKETS CLASS A					Exempt				

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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	L ~\$50,001 - \$100,000 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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☐ 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				
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18. - HARBOR INTERNAL INV					Exempt				
19. - LAZARD EMERGING MARKETS EQUITY OPEN					Exempt				
20. - NATIONWIDE SMALL CAP INDEX A					Exempt				
21. - FRANKLIN MUTUAL BEACON CLASS A					Exempt				
22. - JPMORGAN MID CAP VALUE A					Exempt				
23. - T ROWE PRICE MID-CAP VALUE					Exempt				
24. - AMERICAN FUNDS GROWTH FUND OF AMER R3					Exempt				
25. - NATIONWIDE S&P 500 INDEX INSTL					Exempt				
26. - PIONEER HIGH YIELD A					Exempt				
27. - PIONEER STRATEGIC INCOME A					Exempt				
28. -PRINCIPAL HIGH YIELD A					Exempt				
29. - WELLS FARGO ADVANTAGE GOVERNMENT SEC INV					Exempt				
30. IRA #1	A	Dividend	K	T	Exempt				
31. - COLUMBIA ACORN CLASS Z					Exempt				
32. - FIDELITY CANADA					Exempt				
33. - MERIDIAN VALUE FUND					Exempt				
34. - MATTHEWS INDIA FUND					Exempt				

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. IRA #2	A	Dividend	K	T	Exempt				
36. -CLIPPER					Exempt				
37. - FIDELITY REAL ESTATE INVESTMENT					Exempt				
38. - RBC MICROCAP VALUE FUND CLASS S					Exempt				
39. IRA #3	A	Dividend	K	T	Exempt				
40. - FIDELITY STOCK SELECTOR LARGE CAP VALUE					Exempt				
41. - FIDELITY MID CAP VALUE					Exempt				
42. - FIDELITY MAGELLAN					Exempt				
43. - FIDELITY LOW PRICED STOCK					Exempt				
44. - PERKINS SMALL CAP VALUE CLASS T					Exempt				
45. IRA #4	B	Dividend	N	T	Exempt				
46. - FIDELITY CASH RESERVES					Exempt				
47. - DODGE & COX STOCK					Exempt				
48. - DREYFUS SMALL CAP STOCK INDEX					Exempt				
49. - FIDELITY DIVERSIFIED INTERNATIONAL					Exempt				
50. - FIDELITY MID CAP STOCK					Exempt				
51. - FIDELITY VALUE					Exempt				

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52. - MERIDIAN VALUE FUND					Exempt				
53. - FIDELITY CONTRAFUND					Exempt				
54. - FIDELITY STRATEGIC DIVIDEND & INCOME					Exempt				
55. - FIDELITY STRATEGIC INCOME					Exempt				
56. IRA #5	A	Dividend	J	T	Exempt				
57. - FIDELITY DIVERSIFIED INTERNATIONAL					Exempt				
58. IRA #6	A	Dividend	J	T	Exempt				
59. - NOVO NORDISK A/S ADR FKA NOVO INDUSTRIES					Exempt				
60. LIFE INSURANCE POLICY #1	A	Int./Div.	K	T	Exempt				
61. - MAINSTAY VP JANUS BALANCED PORTFOLIO - INITIAL CLASS					Exempt				
62. - MAINSTAY VP S&P 500 INDEX					Exempt				
63. - FIDELITY VIP CONTRAFUND					Exempt				
64.									
65.									
66.									

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

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Mary E. Hammond

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