

APPLICANT’S PRELIMINARY DISCLOSURE STATEMENT

Only applicants chosen to be interviewed by the Merit Selection Panel will be required to complete this Preliminary Disclosure Statement. The information you supply in response to this form may be utilized by the Federal Bureau of Investigation in making an investigation of your background, as required by policies established by the Judicial Conference of the United States. This form and the background investigation are part of the Court of Appeals’ consideration of your qualifications and suitability for appointment as a United States bankruptcy judge. (See Privacy Act Notice furnished as a supplement to Standard Form 86).

If there is insufficient space beside a question for the full answer, please use a separate page.

A. PERSONAL DATA

- 1. Full name: _____
- 2. Telephone number: (office) _____
(home/cell) _____
- 3. Marital status: _____

(If married, please identify your spouse’s employers for the past five years):

- 4. Have your federal or state tax returns been the subject of an audit or investigation or inquiry at any time? Yes: __ No: __ If so, please explain:

5. Are you currently under federal, state, or local investigation for a possible violation of a criminal statute? Yes: ___ No: ___ If so, please explain:

6. List all memberships and offices held in professional, fraternal, scholarly, and civic organizations.

7. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to, any court, administrative agency, professional association, disciplinary committee, or other professional group?
Yes: ___ No: ___ If so, please explain:

8. Have you ever filed for bankruptcy, been involved in civil litigation or administrative or legislative proceedings of any kind, whether as plaintiff, defendant, respondent, witness, or party in interest, which may be appropriate for consideration by the court of appeals which is considering your appointment as a bankruptcy judge?

Yes: ___ No: ___ If so, please explain:

9. Without details, is there or has there been anything in your personal life which you feel, if known, may be of embarrassment to the bankruptcy court in the event that you are appointed as a bankruptcy judge? Yes: ___ No: ___

10. Is there anything in your spouse's personal life which, if known, may be of embarrassment to the bankruptcy court in the event that you are appointed?

Yes: ___ No: ___

B. FINANCIAL DATA

Please note that Public Law 95-521, the Ethics in Government Act of 1978, as amended, and regulations of the Judicial Conference require all new bankruptcy judges to provide reports of specified financial interests as to themselves, their spouses, and any other members of their immediate household within 30 days of their entrance on duty. Items 1. and 2. below are intended to elicit financial information similar to—although, in some cases, broader in scope—the information which all new bankruptcy judges are required to provide. The remaining items on this form seek a further elaboration of your financial status. As to all matters, please provide the requested information as to yourself, your spouse, your minor children, and any other members of your household. If there is insufficient space beside a question for the full answer, please use a separate page.

1. List the names of all corporations, companies, firms, or other business enterprises, partnerships, nonprofit organizations, and education or other institutions -

(a) with which you are now connected as an employee, officer, owner, director, trustee, partner, advisor, attorney, or consultant. (Attorneys and consultants need list only their major clients, but should include all of those whom you represent on a regular basis or which might give rise to an appearance of bias on your part in connection with your proposed appointment);

(b) in which you have any continuing financial interests, through a pension or retirement plan, stock bonus, shared income, severance pay agreement, or otherwise as a result of any current or prior employment or business or professional association. As to each financial arrangement, provide all details necessary for a thorough understanding of the way in which the arrangement operates, including information concerning any renewal right you may have if the arrangement is allowed to lapse and whether lump sum or severance benefits are available in lieu of continuation of the interest;

- (c) in which you have any financial interest through the ownership of stocks, stock options, bonds, partnership interests, or other securities. Any interests held indirectly through trusts or other arrangements should be included. Please provide a copy of any trust or other agreement.

2. Provide a complete, current financial net worth statement that itemizes in detail:

- (a) the identity and value of all assets held, directly or indirectly. This itemization should include, but not be limited to, bank accounts, real estate, securities, trusts, investments, and other financial holdings;
- (b) the identity and amount of each liability owed, directly or indirectly, which is in excess of \$1,000. This itemization should include, but not be limited to, debts, mortgages, loans, and other financial obligations for which you, your spouse, or your dependents have a direct liability or which may be guaranteed by you, your spouse, or your dependents. In identifying each liability, indicate the nature of the liability and the entity or person to which it is owed.

A sample net worth statement is attached for your convenience. You may use any form you like.

3. List sources and amounts of all items of value received during this calendar year and the preceding one (including, but not limited to, salaries, wages, fees, dividends, capital gains or losses, interests, rents, royalties, patents, honoraria, and other gifts other than those of nominal value). (This information can either be included in your personal net worth statement or listed below.)

4. Please provide copies of your federal income tax returns for the preceding three-year period.

5. Do you consent to a credit check? Yes: ___ No: ___

C. FUTURE EMPLOYMENT RELATIONSHIPS

1. Will you sever all connections with your present employers, business firms, business associations, or business organizations, if you are selected as a bankruptcy judge? Yes: ___ No: ___ If not, please explain:

2. Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the government?

Yes: ___ No: ___ If so, please explain:

D. POTENTIAL CONFLICTS OF INTERESTS

- 1. Describe all financial arrangements, stock options, deferred compensation agreements, future benefits, and other continuing relationships with business associates, clients, or customers.

- 2. Describe any business relationship, dealing, or financial transaction which you have had during the last five years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated.

3. Explain how you will resolve any potential conflict of interest, including any that may be disclosed by your responses to the above items.

Personal Net Worth Statement

Name

Business Phone

Residence Address

Residence Phone

City, State and Zip Code

Name of Business

ASSETS		(Omit Cents)	LIABILITIES		(Omit Cents)
Cash on hand and in bank(s)	\$		Accounts Payable	\$	
Savings Accounts	\$		Notes Payable to Banks and Others:	\$	(Describe in Section 2)
IRA or Other Retirement Accounts	\$		Installment Account (Auto) Monthly Payments	\$	\$
Accounts & Notes Receivable	\$		Installment Account (Other) Monthly Payments	\$	\$
Life Insurance-Cash Surrender Value Only	\$	(Complete Section 8)	Loan on Life Insurance	\$	
Stocks and Bonds	\$	(Describe in Section 3)	Mortgages on Real Estate	\$	(Describe in Section 4)
Real Estate	\$	(Describe in Section 4)	Unpaid Taxes	\$	(Describe in Section 6)
Automobile(s)-Present Value	\$		Other Liabilities	\$	(Describe in Section 7)
Other Personal Property	\$	(Describe in Section 5)			
Other Assets	\$	(Describe in Section 5)			
Total Assets	\$		Total Liabilities	\$	
			TOTAL NET WORTH (Assets – Liabilities)	\$	

Section 1. Source of Income		Contingent Liabilities	
Salary	\$	As Endorser or Co-Maker	\$
Net Investment Income	\$	Legal Claims and Judgments	\$
Real Estate Income	\$	Provision for Federal Income Tax	\$
Other Income (Describe below)	\$	Other Special Debt	\$

Description of Other Income in Section 1.

Section 2. Notes Payable to Bank and Others. (Use attachments if necessary. Each attachment must be identified as a part of this statement and signed.)					
Name and Address of Noteholder(s)	Original Balance	Current Balance	Payment Amount	Frequency (monthly, etc.)	How Secured or Endorsed Type of Collateral

Section 3. Stocks and Bonds. (Use attachment if necessary. Each attachment must be identified as a part of this PNW Statement and must be signed.)					
Number of Shares	Name of Securities	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Value

Section 4. Real Estate Owned. (List each parcel separately. Use attachments if necessary. Each attachment must be identified as a part of this PNW Statement and must be signed.)			
	Property A	Property B	Property C
Type of Property			
Address			
Date Purchased			
Original Cost			
Present Market Value			
Name & Address of Mortgage Holder			
Mortgage Account Number			
Mortgage Balance			
Amount of Payment Per Month/Year (Specify)			
Status of Mortgage			
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Section 4. Continued - Real Estate Owned. (List each parcel separately. Use attachments if necessary. Each attachment must be identified as a part of this PNW Statement and must be signed.)

	Property D	Property E	Property F
Type of Property			
Address			
Date Purchased			
Original Cost			
Present Market Value			
Name & Address of Mortgage Holder			
Mortgage Account Number			
Mortgage Balance			
Amount of Payment Per Month/Year (Specify)			
Status of Mortgage			

Section 5. Other Personal Property and Other Assets. (Describe, and if any is pledged as security, state name and address of lien holder, amount of lien, terms of payment, and if delinquent, describe delinquency)

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Section 6. Unpaid Taxes. (Describe in detail, as to type, to whom payable, when due, amount, and to what property, if any, a tax lien attaches).

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Section 7. Other Liabilities. (Describe in detail).

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Section 8. Life Insurance Held.

(Give face amount and cash surrender value of policies - name of insurance company and beneficiaries).

I hereby certify that no assets have been transferred to any beneficiary for less than fair market value in the last two years. These statements are true and correct to the best of my belief.

Signature

Date

Social Security Number