

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Peck,, James M.	2. Court or Organization USBC/SDNY	3. Date of Report 09/30/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Custom House One Bowling Green New York, NY 10004-1408		
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. At-large member of Board of Governors	National Conference of Bankruptcy Judges
2. Co-chair of Advisory Committee on the Bankruptcy Safe Harbors	American Bankruptcy Institute
3. Member of Judicial Steering Committee	INSOL International
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.	
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	Earle K. & Katherine F. Moore Foundation - Trustee Fee
2. 2012	Metropolitan Life Insurance Company - Pension Benefits
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. Eastern District of Pennsylvania Bankruptcy Conference	1/19/12- 1/20/12	Philadelphia, PA	Speaker at regional bankruptcy conference	transportation, lodging and food
2. University of British Columbia and National Judicial Institute of Canada	2/8/12 - 2/11/12	Vancouver, British Columbia, Canada	Speaker at Annual Review of Insolvency Law Conference	transportation, lodging and food
3. American College of Bankruptcy	2/23/12 - 2/25/12	Boston, MA	Speaker on valuation at Boston College School of Law	transportation, lodging and food
4. INSOL New Zealand	3/7/12-3/11/12	Auckland, New Zealand	Keynote speaker at INSOL New Zealand insolvency conference	transportation, lodging and food

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5.	Australian Law Council	3/14/12 - 3/16/12	Melbourne, Australia	Speaker at conference on international judicial cooperation	transportation, lodging and food
6.	American Bankruptcy Institute	4/19/12 - 4/20/12	Washington, D.C.	Speaker at World Bank/ABI Working Group on Financial Contracts in Bankruptcy	transportation, lodging and food
7.	INSOL International	5/21/12 - 5/23/12	Miami, FL	Speaker on judicial panel at annual conference	transportation, lodging and food
8.	International Insolvency Institute	6/21/12 - 6/22/12	Paris, France	Speaker at international insolvency law conference	partial stipend for transportation, lodging and food
9.	American Bankruptcy Institute and Georgetown Law School	10/4/12 - 10/5/12	Washington, D.C.	Speaker at "Views from the Bench" Conference at Georgetown Law School	transportation , lodging and food
10.	Humboldt University and Institute for Interdisciplinary Restructuring	10/13/12 - 10/16/12	Berlin, Germany	Guest Lecturer at Humboldt University	transportation, lodging and food
11.	American Bankruptcy Institute	10/17/12 - 10/20/12	Rome, Italy	Speaker at International Insolvency and Restructuring Symposium	transportation, lodgeing and food
12.	National Conference of Bankruptcy Judges	10/23/12 - 10/27/12	San Diego, CA	Speaker at NCBJ annual conference and attend meetings of Board of Governors	transportation, lodging and food
13.	Turnaround Management Association	11/1/12 - 11/3/12	Boston, MA	Speaker at TMA annual conference	transportation, lodging and food

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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. John Hancock Universal Life Insurance - Money Market	A	Interest	M	T					
2. Citibank Money Market Acct	A	Interest	L	T					
3. Chase Money Market Acct - (X)	A	Interest	M	T					
4. Schulte Roth & Zabel Group Trust IRA		None	N	T					
5. Brokerage-BBH Core Select Fund (X)	A	Dividend	K	T					
6. Brokerage-Driehaus Mutual Fund Active Income (X)	A	Dividend	J	T					
7. Brokerage-Eaton Vance Global Macro	A	Dividend	J	T					
8. Brokerage-Fidelity Floating Rate	A	Dividend			Buy (add'l)	01/10/12	J		
9. Brokerage-Fidelity Floating Rate		None			Sold	12/07/12	K	A	
10. Brokerage-iShares Barclays Aggregated Bond Fund	B	Dividend	L	T	Buy (add'l)	01/10/12	K		
11. Brokerage-Pimco All Asset/Authority Fund	A	Dividend	J	T					
12. Brokerage-Schwab Cap TR S&P Invest Select Shares	C	Dividend	M	T					
13. Brokerage-Templeton Global Bond	A	Dividend			Sold	12/21/12	J		
14. Brokerage-Vanguard Total INTL Stock(X)	A	Dividend	K	T					
15. Brokerage-Wells Fargo FDS ADVIN (X)	C	Dividend	M	T	Buy (add'l)	01/10/12	M		
16. Brokerage-Wells Fargo ADV(X)		None			Sold	01/10/12	J		
17. Ivy Municipal High Income Fund (X)	B	Dividend	L	T	Buy	01/10/12	K		

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 \$50,000,000	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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18. Brokerage - Schwab US Treasury Money Fund (X)		None	K	T					
19. IRA-Alliant TechSystems	A	Interest			Sold	07/16/12	J	A	
20. IRA-Altria Group Inc.	A	Interest			Sold	07/16/12	J	A	
21. IRA-Anadarko Pete Corp.(X)	A	Interest			Sold	07/13/12	J	A	
22. IRA-Autozone Inc(X)	A	Interest			Sold	07/16/12	J	A	
23. IRA-Ball Corp(X)	A	Interest			Sold	07/16/12	J	A	
24. IRA-Clean Harbors Inc.(X)	A	Interest			Sold	07/16/12	J		
25. IRA-Comcast Corp(X)	A	Interest			Sold	07/13/12	J	A	
26. IRA-Coventry Health Care Inc(X)	A	Interest			Sold	07/20/12	J	A	
27. IRA-Crown Castle Intl Corp(X)	A	Interest			Sold	07/20/12	J	A	
28. IRA-Deluxe Corp(X)	A	Interest			Sold	07/13/12	J	A	
29. IRA-Donnelley R R&Sons Co 4.95%(X)	A	Interest			Sold	07/13/12	J	A	
30. IRA-Donnelley R R&Sons Co 5.5%(X)	A	Interest			Sold	07/13/12	J	A	
31. IRA-Echostar DBS Corp 6.625%	A	Interest			Sold	01/09/12	J	A	
32. IRA-Echostar DBS Corp 7.125%	A	Interest			Buy	01/09/12	J		
33. IRA-Echostar DBS Corp 7.125%					Sold	07/13/12	J	A	
34. IRA-Ford Motor Credit Co	A	Interest			Sold	07/13/12	J	A	

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35. IRA-Forrest Oil Corp	A	Interest			Buy (add'l)	06/27/12	J		
36. IRA-Forrest Oil Corp					Sold	07/13/12	J		
37. IRA-Freeport-McMoran Copper&Gold	A	Interest			Sold	03/14/12	J		
38. IRA-Frontier Communications Corp	A	Interest			Sold	06/04/12	J	A	
39. IRA-General Electric(X)	A	Interest			Sold	07/16/12	J		
40. IRA-Host Hotels&Resorts	A	Interest			Buy (add'l)	05/21/12	J		
41. IRA-Host Hotels&Resorts					Sold	07/20/12	J		
42. IRA-INTL Paper Co(X)	A	Interest			Sold	07/16/12	J	A	
43. IRA-Iron MTN Inc(X)	A	Interest			Sold	07/13/12	J	A	
44. IRA-Kansas City Southern(X)	A	Interest			Sold	02/24/12	J	A	
45. IRA- Kellogg Co(X)	A	Interest			Sold	07/13/12	J	A	
46. IRA-Metlife Inc(X)	A	Interest			Sold	07/13/12	J	A	
47. IRA- Nextel Communications Inc(X)	A	Interest			Sold	07/20/12	J		
48. IRA-Peabody Energy Corp(X)	A	Interest			Sold	07/13/12	J	A	
49. IRA- Prudential Finl Inc MTNS Book	A	Interest			Buy (add'l)	01/18/12	J		
50. IRA-Prudential FinL Inc MTNS Book					Sold	07/16/12	J		
51. IRA- Qwest Corp 8.375%	A	Interest			Sold	04/18/12	J	A	

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52. IRA- Qwest Corp 6.5%(X)	A	Interest			Buy	04/25/12	J		
53. IRA- Qwest Corp 6.5%					Sold	07/13/12	J		
54. IRA-Seagate Technology HDD(X)	A	Interest			Sold	01/09/12	J	A	
55. IRA-Service Corp INTL	A	Interest			Sold	01/11/12	J	A	
56. IRA-Silgan Holdings Inc	A	Interest			Sold	04/09/12	J	A	
57. IRA-Unisys Corp	A	Interest			Sold	07/20/12	J		
58. IRA-Valero Energy Corp	A	Interest			Sold	07/13/12	J	A	
59. IRA- Newfield Expl 6.625% (X)	A	Interest			Buy	01/09/12	J		
60. IRA- Newfield Expl 6.625%(X)					Sold	07/03/12	J	A	
61. IRA- Consol Energy Inc 8% (X)	A	Interest			Buy	03/06/12	J		
62. IRA- Consol Energy Inc 8% (X)					Sold	07/16/12	J		
63. IRA- Denbury Res Inc 9.75% (X)	A	Interest			Buy	03/08/12	J		
64. IRA- Denbury Res Inc 9.75% (X)					Sold	07/20/12	J		
65. IRA- Hewlett Packard Co 4.65% (X)	A	Interest			Buy	03/08/12	J		
66. IRA-Hewlett Packard Co 4.65% (X)					Sold	07/16/12	J		
67. IRA- Fidelity Natl Info Svcs 7.625% (X)	A	Interest			Buy	03/20/12	J		
68. IRA- Fidelity Natl Info Svcs 7.625% (X)					Sold	07/20/12	J	A	

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69. IRA- Arcelormittal SA Luxembourg 9.85% (X)	A	Interest			Buy	04/11/12	J		
70. IRA- Arcelormittal SA Luxembourg 9.85% (X)					Sold	07/13/12	J	A	
71. IRA- Swift Energy Co 7.125% (X)	A	Interest			Buy	06/04/12	J		
72. IRA- Swift Energy Co 7.125% (X)					Sold	07/20/12	J	A	
73. IRA- Wachovia Corp 5.63% (X)	A	Interest			Buy	01/23/12	J		
74. IRA- Wachovia Corp 5.63% (X)					Sold	07/20/12	J	A	
75. IRA R/O Schwab- ALPS ETF Alerian MLP (X)	A	Dividend	J	T	Buy	01/10/12	J		
76. IRA R/O Schwab-Driehaus Mutual Funds Active Income	A	Dividend	K	T	Buy (add'l)	01/10/12	J		
77. IRA R/O Schwab-Fidelity Floating Rate	B	Dividend	J	T					
78. IRA R/O Schwab-Greenhaven Cont Inx (X)		None			Buy	01/10/12	K		
79. IRA R/O Schwab- Greenhaven Cont Inx		None			Sold	08/06/12	K		
80. IRA R/O Schwab-Greenspring FD Inc		None			Sold	01/10/12	K		
81. IRA R/O Schwab-Schwab Cap TR S&P 500 Select shares	C	Dividend	M	T					
82. IRA R/O Schwab- Jeffries Asset Mgmt Cmdty Strat (X)	A	Dividend	K	T	Buy	08/06/12	K		
83. IRA R/O Schwab- BBH FD Inc	B	Dividend	L	T	Buy (add'l)	01/10/12	J		
84. IRA R/O Schwab- BBH FD Inc					Buy (add'l)	08/06/12	K		
85. IRA R/O Schwab -Fidelity Floating Rate High Income	B	Dividend	J	T					

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86. IRA R/O Schwab -ISHARES TR Lehman AGG Bnd	B	Dividend	M	T	Buy (add'l)	12/21/12	K		
87. IRA R/O Schwab -PIMCO ALL ASSET/ AUTHORITY Fund	B	Dividend	J	T					
88. IRA R/O Schwab -PIMCO ALL ASSET/ AUTHORITY I		None	J	T					
89. IRA R/O Schwab - Polen Growth	A	Dividend	K	T	Buy (add'l)	01/10/12	J		
90. IRA R/O Schwab - Polen Growth					Buy (add'l)	08/06/12	K		
91. IRA R/O Schwab -Schwab Cap TR S&P 500 Invs Select(X)	C	Dividend	M	T					
92. IRA R/O Schwab -Templeton Income	B	Dividend			Sold	12/07/12	K	A	
93. IRA R/O Schwab - Steelpath MLP	A	Dividend			Sold	01/10/12	J	A	
94. IRA R/O Schwab -Vanguard Total INTL	C	Dividend	L	T	Buy (add'l)	08/06/12	K		
95. IRA R/O Schwab Blackrock Fds II Strong Opp Instl (X)	A	Dividend	L	T	Buy	12/21/12	L		
96. IRA R/O Schwab Pimco Fds Uncstr Bd Instl (X)	A	Dividend	L	T	Buy	12/21/12	L		
97. IRA R/O Schwab Vanguard Short-Term Bond Index (X)	A	Dividend			Buy	07/26/12	L		
98. IRA R/O Schwab Vanguard Short-Term Bond Index (X)		None			Buy (add'l)	08/06/12	K		
99. IRA R/O Schwab Vanguard Short-Term Bond Index (X)					Sold	12/21/12	M		
100. IRA R/O Schwab Wells Fargo S/T Hi-Yld Bond (X)	A	Dividend	K	T	Buy	08/06/12	K		
101. IRA R/O Schwab Hamlin High Dividend Equity Instl (X)	A	Dividend	M	T	Buy	07/26/12	L		
102. IRA R/O Schwab Hamlin High Dividend Equity Instl (X)					Buy (add'l)	08/06/12	K		

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 \$50,000,000	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)

103. IRA R/O Schwab Mgrs AMG Fds Yackman Instl (X)	A	Dividend	M	T	Buy	07/26/12	L		
104. IRA R/O Schwab Mgrs AMG Fds Yackman Instl (X)					Buy (add'l)	08/06/12	K		
105. IRA R/O Schwab US Treasury Money Fund (X)	A	Dividend	M	T	Buy	07/13/12	L		
106. IRA R/O Hamlin-Abbott Labs	A	Dividend			Sold (part)	06/18/12	J	A	
107. IRA R/O Hamlin- Abbott Labs					Sold	07/13/12	J	B	
108. IRA R/O Hamlin- Alliance Resource Partners	A	Dividend			Sold	07/13/12	J		
109. IRA R/O Hamlin-AT&T	A	Dividend			Buy (add'l)	01/26/12	J		
110. IRA R/O Hamlin-AT&T		None			Sold (part)	05/31/12	J	A	
111. IRA R/O Hamlin-AT&T					Sold	07/13/12	J	A	
112. IRA R/O Hamlin- Baytex Energy Trust	A	Dividend			Sold	07/13/12	J		
113. IRA R/O Hamlin-Bristol-Meyers Squibb Co	A	Dividend			Sold	03/13/12	J	A	
114. IRA R/O Hamlin- Canadian Oil Sands	A	Dividend			Sold	07/13/12	J		
115. IRA R/O Hamlin-Chevron Corp	A	Dividend			Sold	04/09/12	J		
116. IRA R/O Hamlin-Cinemark Holdings Inc	A	Dividend			Sold	07/13/12	J	B	
117. IRA R/O Hamlin- Cinn Financial Corp	A	Dividend			Sold	07/13/12	J	B	
118. IRA R/O Hamlin-Conagra	A	Dividend			Sold	07/13/12	J		
119. IRA R/O Hamlin- Conocophillips	A	Dividend			Sold	07/13/12	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 \$50,000,000	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)
120. IRA R/O Hamlin- E I Du Pont De Nemours & Co	A	Dividend			Sold	07/13/12	J		
121. IRA R/O Hamlin-Enbridge Energy Partners	A	Dividend			Sold	07/13/12	J		
122. IRA R/O Hamlin- Enduro Royalty Trust	A	Dividend			Sold	07/13/12	J		
123. IRA R/O Hamlin-Federated Investors Inc	A	Dividend			Sold	02/23/12	J	A	
124. IRA R/O Hamlin-FNB Corp Com	A	Dividend			Sold	07/13/12	J		
125. IRA R/O Hamlin-Freeport McMoran Copper & Gold	A	Dividend			Sold	07/13/12	J		
126. IRA R/O Hamlin-Gallagher Arthur J & Co	A	Dividend			Sold	07/13/12	J	A	
127. IRA R/O Hamlin-Genuine Parts Co	A	Dividend			Sold	02/08/12	J	A	
128. IRA R/O Hamlin-Heinz H J Co	A	Dividend			Buy (add'l)	06/22/12	J		
129. IRA R/O Hamlin- Heinz H J Co					Sold	07/13/12	J	A	
130. IRA R/O Hamlin-Hospitality Prop Trust	A	Dividend			Sold	07/13/12	J	A	
131. IRA R/O Hamlin- INTEL Corp	A	Dividend			Sold	07/13/12	J	A	
132. IRA R/O Hamlin-Kimberly Clark	A	Dividend			Sold (part)	06/15/12	J	A	
133. IRA R/O Hamlin- Kimberely Clark					Sold	07/13/12	J	A	
134. IRA R/O Hamlin-Leggett & Platt Inc	A	Dividend			Sold	07/13/12	J		
135. IRA R/O Hamlin-Lockheed Martin Corp	A	Dividend			Sold (part)	02/23/12	J	A	
136. IRA R/O Hamlin- Lockheed Martin Corp					Sold	07/13/12	J	A	

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 \$50,000,000	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)

137. IRA R/O Hamlin-Merck &Co	A	Dividend			Sold	07/13/12	J	B	
138. IRA R/O Hamlin-Meredith Corp	A	Dividend			Sold	07/13/12	J	A	
139. IRA R/O Hamlin-National Cinmedia	A	Dividend			Sold	07/13/12	J	A	
140. IRA R/O Hamlin-Nucor Corp	A	Dividend			Sold	07/13/12	J		
141. IRA R/O Hamlin-Penn VA RES Partners	A	Dividend			Sold	07/13/12	J		
142. IRA R/O Hamlin-Rayonier INC REIT	A	Dividend			Sold	07/13/12	J	B	
143. IRA R/O Hamlin- RPM INTL Inc	A	Dividend			Sold (part)	06/19/12	J	A	
144. IRA R/O Hamlin- RPM INTL Inc					Sold	07/13/12	J	A	
145. IRA R/O Hamlin-Sunoco Products Co	A	Dividend			Sold	07/13/12	J		
146. IRA R/O Hamlin- Unilever PLC	A	Dividend			Sold	07/13/12	J		
147. IRA R/O Hamlin-Valley National Bancorp	A	Dividend			Sold	05/03/12	J		
148. IRA R/O Hamlin- Plum Creek Timber Co Inc (X)		None			Buy	02/06/12	J		
149. IRA R/O Hamlin- Plum Creek Timber Co Inc (X)		None			Buy (add'l)	05/01/12	J		
150. IRA R/O Hamlin- Plum Creek Timber Co Inc (X)					Sold	07/13/12	J		
151. IRA R/O Hamliin- Hasbro Inc (X)		None			Buy	02/08/12	J		
152. IRA R/O Hamliin- Hasbro Inc (X)		None			Buy (add'l)	02/29/12	J		
153. IRA R/O Hamliin- Hasbro Inc (X)					Sold	07/13/12	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 \$50,000,000	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)
154. IRA R/O Hamlin- GlaxoSmithKline PLC (X)		None			Buy	03/13/12	J		
155. IRA R/O Hamlin- GlaxoSmithKline PLC (X)		None			Buy (add'l)	04/10/12	J		
156. IRA R/O Hamlin- GlaxoSmithKline PLC (X)					Sold	07/13/12	J		
157. IRA R/O Hamlin- Peoples Bank Bridgeport		None			Buy	05/04/12	J		
158. IRA R/O Hamlin- Peoples Bank Bridgeport (X)		None			Buy (add'l)	05/22/12	J		
159. IRA R/O Hamlin- Peoples Bank Bridgeport (X)					Sold	07/13/12	J		
160. IRA R/O Hamlin- CA Inc (X)		None			Buy	06/06/12	J		
161. IRA R/O Hamlin- CA Inc (X)					Sold	07/13/12	J		
162. IRA R/O Hamlin- Eaton Corp PLC (X)		None			Buy	06/22/12	J		
163. IRA R/O Hamlin- Eaton Corp PLC (X)		None			Buy (add'l)	07/11/12	J		
164. IRA R/O Hamlin- Eaton Corp PLC (X)					Sold	07/13/12	J		
165. IRA R/O Hamlin- Seagate Technology (X)		None			Buy	06/22/12	J		
166. IRA R/O Hamlin- Seagate Technology (X)					Sold	07/13/12	J	A	
167. Standish Schwab-Citizens PPTY Ins Corp(X)	B	Interest	K	T					
168. Standish Schwab-Detroit Mich City Sch Dist(X)	B	Interest	K	T					
169. Standish Schwab-E 470 Pub HWY Auth	B	Interest	K	T					
170. Standish Schwab-Houston Tex Hotel Occupancy(X)	B	Interest	K	T					

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 -\$250,000,001 - \$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)
171. Standish Schwab-Indiana St Fin Auth Rev 5% (X)	B	Interest	K	T	Buy	04/12/12	K		
172. Standish Schwab-Metropolitan Transn Auth	B	Interest	K	T					
173. Standish Schwab-Michigan St BLDG Auth	B	Interest	K	T					
174. Standish Schwab-New York NY City Indl	A	Interest			Sold	04/05/12	K		
175. Standish Schwab-New York NY City TR Cultural	B	Interest	K	T					
176. Standish Schwab-New York St Dorm Auth Revs5%	A	Interest	K	T					
177. Standish Schwab-Palm Beach Cnty FLA Health	B	Interest	K	T	Sold (part)	11/15/12	J		
178. Standish Schwab-Teton CNTY Hosp	B	Interest	K	T					
179. Standish Schwab- University ILL Rev 5%	B	Interest	K	T					
180. Standish Schwab US Treasury Money Fund	A	Interest	K	T	Buy	04/05/12	K		
181. Schwab-Baron Asset	C	Dividend	L	T					
182. Schwab-ALPS ETF Tr Alerian MLP(X)	A	Dividend	J	T	Buy	01/10/12	J		
183. Schwab-iShares Tr Hgh Div Eqt Fd (X)	A	Dividend	K	T	Buy	01/10/12	J		
184. Schwab-SPDR S&P Dividend ETF (X)	A	Dividend	K	T	Buy	01/10/12	K		
185. Schwab-Vanguard Total Intl Stock Index (X)	A	Dividend	K	T	Buy	01/10/12	J		
186. Schwab-BBF Fd Inc Core SI Retail (X)	A	Dividend	K	T	Buy	01/10/12	K		
187. Schwab-Polen Growth (X)	A	Dividend	K	T	Buy	01/10/12	K		

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

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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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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)
188. Schwab-Schwab Cap Tr S&P 500 Invs Select (X)	A	Dividend	K	T	Buy	01/10/12	K		
189. Schwab-US Treasury Money Fund (X)	A	Interest	K	T	Buy	01/10/12	K		
190. Corby Schwab- Alps ETF TR Alerian MLP		None			Sold	01/03/12	J	A	
191. Corby Schwab-Astellas Pharma Inc		None			Sold	01/04/12	J	A	
192. Corby Schwab-Baytex Energy Trust		None			Sold	01/03/12	J	A	
193. Corby Schwab-Canadian Oil Sands		None			Sold	01/03/12	J		
194. Corby Schwab-Capstone Infrastructure Corp	A	Dividend			Sold	01/03/12	J		
195. Corby Schwab-Doubleline Total return Bond		None			Sold	01/03/12	J		
196. Corby Schwab-Duet Group Stapled Secure	A	Dividend			Sold	01/04/12	J		
197. Corby Schwab-Enervest Diversified Income	A	Dividend			Sold	01/03/12	J		
198. Corby Schwab-First Eagle FDS Inc Gold	A	Dividend			Sold	01/03/12	J		
199. Corby Schwab-First Trust Aberdeen GLBL	A	Dividend			Sold	01/03/12	J		
200. Corby Schwab-Gamco Global Gold Natrual Resource		None			Sold	01/03/12	J		
201. Corby Schwab-H&Q Healthcare Investors		None			Sold	01/03/12	J		
202. Corby Schwab-Hugoton Royalty Trust Units	A	Dividend			Sold	01/03/12	J		
203. Corby Schwab-Israel Chemicals LTD SHS		None			Sold	01/03/12	J		
204. Corby Schwab-Morgan Stanley Emerg MKTS	A	Dividend			Sold	01/03/12	J		

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

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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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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)
205. Corby Schwab-Pembina Pipeline Corp	A	Dividend			Sold	01/03/12	J	A	
206. Corby Schwab-Peyto Exploration&Development	A	Dividend			Sold	01/03/12	J	A	
207. Corby Schwab-Rayonier Inc		None			Sold	01/03/12	J	A	
208. Corby Schwab-San Juan Royalty Trust	A	Dividend			Sold	01/03/12	J		
209. Corby Schwab-Southern Copper Corp		None			Sold	01/03/12	J	A	
210. Corby Schwab-Sydney Airport		None			Sold	01/03/12	J		
211. IRA Contributry Schwab- Driehaus Mut Funds Active	A	Dividend	J	T					
212. IRA Contributory Schwab- IShares TR Lehman AGG Bnd	A	Dividend	J	T					
213. IRA Contributory Schwab-Matthews Asia Dividend FD	A	Dividend			Sold	01/10/12	J		
214. IRA Contrbry Schwab- Schwab Cap TR S&P 500 Invs Sel	A	Dividend	K	T					
215. IRA Contributory Schwab2- Fidelity Fifty	A	Dividend			Sold	01/10/12	J		
216. IRA Contribry Schwab2- IShares TR Lehman AGG BND	A	Dividend	J	T					
217. IRA Contributory Schwab-Vanguard Total Intl Stk (X)	A	Dividend	J	T	Buy	01/10/12	J		
218. IRA Contributory Schwab- ishares Tr Hi Div Eqt Fd (X)	A	Dividend	J	T	Buy	01/10/12	J		
219. IRA Contributory Schwab- SPDR S&P Div ETF (X)	A	Dividend	J	T	Buy	01/10/12	J		
220. IRA Contributory Schwab-Vanguard Star Fd Intl (X)	A	Dividend	J	T	Buy	01/10/12	J		
221. IRA Contributory Schwab- ALPS ETF Tr Alerian MLP (X)	A	Dividend	J	T	Buy	01/10/12	J		

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 = \$15,000 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
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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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)
222. ☐ IRA Contributory Schwab- BBH Fd Core SL Retail (X)	A	Dividend	J	T	Buy	01/10/12	J		
223. ☐ IRA Contributory Schwab- Polen Growth (X)	A	Dividend	J	T	Buy	01/10/12	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 \$50,000,000	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Please note for purposes of Part VII that investments in the Schulte Roth & Zabel LLP Group Trust (line 4) are managed by an advisory committee. I am informed that in 2012 the SRZ Group Trust invested in thirty-five separate and independently managed hedge funds and one mutual fund. These investment vehicles were selected in the sole discretion of this advisory committee. With the exception of individuals who serve on that committee, current and former partners of the firm have no knowledge concerning the identity of any of these funds and have no control over the selection of any particular fund or the decision to transfer investments from one fund to another. The fund selections may be changed from time to time based on performance and other investment considerations. I do not know the names of any of funds held by the SRZ Group Trust, and so this information is not set forth in the report. A similar explanation regarding the SRZ Group Trust appeared in my initial disclosure report and in reports for the years ended 12/31/06, 12/31/07, 12/31/08, 12/31/09, 12/31/10 and 12/31/11.

This paragraph responds to two questions raised by the Committee on Financial Disclosure in a letter dated September 25, 2013. The first question relates to Part VII, page 9, line 79 for "IRA R/O Schwab - Greenhaven Cont Inv." As previously shown on the immediately preceding line 78, this investment was purchased on 1/10/12. Column B(1) of that line of the report was left blank and column B(2) included the word "None" indicating that no income was received for that investment. Line 79 discloses the sale of that same investment on 8/6/12. The word "None" has been added to column B(2) of line 79 to reiterate and clarify the disclosure in line 78 that no income was received. The second question relates to an item listed in Part VII, page 6, line 19 in my prior report disclosing an investment in Pimco Total Return Fund. This investment is not listed in the current report because all shares were sold on September 28, 2011. The gain code applicable to that sale in 2011 is "A." The disposition of this asset should have been listed in my report for the year ended 12/31/11.

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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/ James M. Peck,**

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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One Columbus Circle, N.E.
Washington, D.C. 20544