

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Gropper, Allan L.	2. Court or Organization US Bankruptcy Court	3. Date of Report 07/25/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address US Bankruptcy Court, Alexander Hamilton Custom House, 1 Bowling Green, NY, NY 10004		
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.	Trustee	The Browning School
2.	Treasurer and Member of Executive Committee	Association of the Bar of the City of New York (from May 2011)
3.	Treasurer and Member, Board of Directors	Association of the Bar of the City of New York Fund, Inc. (from May 2011)
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.	1/1/00	White & Case LLP Retirement Income Plans (former law firm; no control)
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. 2011	Fordham Law School (teaching)	\$5,000
2. 2011	Retirement income from White & Case LLP Retirement Income Plan	\$41,517
3. 2011	INSOL International (teaching)	\$1,642.00
4. 2011	Matthew Bender & Co. Inc. (editing textbook)	\$1,360.00

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. 2011	Columbia University (salary)
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. United Nations Cmsn on Intl Trade Law and INSOL Intl	03/08/2011-03/11/2011	Singapore, Singapore	Seminar and program	Transportation, meals, lodging
2. Assn. Francaise en Faveur de L'Institution Consulaire	04/18/2011-04/20/2011	Paris, France	Seminar and program	Transportation, meals, lodging
3. INSOL International	05/18/2011-05/20/2011	Tortola, British West Indies	Seminar and program	Transportation, meals, lodging
4. University of Kentucky	06/02/2011-06/03/2011	Lexington, KY	Seminar and program	Transportation, meals, lodging
5. Bay Area Bankruptcy Forum	07/05/2011-07/06/2011	San Francisco, CA	Seminar and program	Transportation, meals, lodging
6. American Bar Association	8/05/2011-08/06/2011	Toronto, Canada	Seminar and program	Transportation, meals, lodging

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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. Chase Manhattan Bank Account	A	Interest	L	T					
2. Comcast Corp. stock	A	Dividend			Sold	12/19/11	J	D	
3. T Rowe Price Intl New Asia Fund	A	Dividend			Sold	12/23/11	K	E	
4. Brandywine Fund Inc.		None	L	T					
5. Keybank	A	Interest	L	T					
6. DNG Acquisition Group LLC	B	Distribution	J	U					
7. Sheridan Properties I, LLC	A	Distribution	J	U					
8. Sheridan Equity Partners		None	J	U					
9. JP Morgan Bank Account	A	Interest	J	T					
10. Trust u/w/o Member	E	Int./Div.	O	T					
11. -US Treasury Notes									
12. - Air Products & Chems stock					Sold	10/06/11	J	C	
13. - Allstate Corp. stock					Sold (part)	08/01/11	J		
14. -Allstate Corp. stock					Sold (part)	09/02/11	J		
15. - Exxon Mobil Corp. stock									
16. - General Mills stock									
17. - Goodrich Corp. stock									

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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18. - NYS Environmental Facs Corp. Bond									
19. - Royal Dutch Petroleum stock									
20. - Tax Exempt Securities Trust									
21. -Vanguard Tax Managed Balanced Fund					Buy	01/03/11	M		
22. - Worldwide Golf Resources stock									
23. - Nassau County Swr Fin Auth Bond									
24. -Nassau County Swr Fin Auth Bond					Buy (add'l)	10/27/11	J		
25. -Vanguard Life Strategy Inc. Fund									
26. -Longleaf Partners Inc. Fund									
27. -Longleaf Partners Inc. Fund					Buy (add'l)	02/09/11	J		
28. -Churchville Chili NY School Bond					Redeemed	06/15/11	K	A	
29. - Bay Shore NY School Dist Bond									
30. - Hewlett-Woodmere NY Sch Dist Bond					Redeemed	07/18/11	J		
31. - Met. Transp. Auth 5.25% Bond									
32. - NYC Ser C-1 5.25% Bond									
33. - NYC Ser C-1 5.25% Bond									
34. - NYC Ser E 5.0% Bond									

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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. - NYC Ser K 4.0% Bond									
36. - South Huntington NY Sch Dist Bond									
37. -Vanguard Index Fund Short Term									
38. - Vanguard World Utilities									
39. -NYC Health Hosp Corp Rfdg Ser A					Buy	07/13/11	J		
40. -Wisconsin St. Rfdg Ser 1					Buy	06/17/11	J		
41. -Tilson Dividend Fund					Buy	02/23/11	K		
42. -PIMCO Unconstrained Bond Fund					Buy	02/02/11	K		
43. -FPA Crescent Portfolio Fund					Buy	01/03/11	K		
44. -Vanguard Life Income Fund					Buy	02/09/11	K		
45. FDIC Insured Bank Deposits	A	Dividend	L	T					
46. Exxon Mobil Corp. stock	C	Dividend	M	T					
47. Allstate Corp. stock	A	Dividend	K	T	Sold (part)	08/01/11	J	D	
48. Allstate Corp. stock	A	Dividend	K	T	Sold (part)	09/02/11	J	C	
49. Brown Forman stock	A	Dividend	K	T					
50. Costco Wholesale Corp stock	A	Dividend	K	T					
51. Johnson & Johnson stock	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Vanguard Health Care Fund	A	Dividend	K	T	Sold (part)	08/02/11	K	B	
53. Vanguard Dividend Growth Income Fund	B	Dividend	L	T					
54. Vanguard Tax Managed Small Cap Fund	A	Dividend	M	T	Sold (part)	10/07/11	J	A	
55. Vanguard Tax Managd Small Cap Fund	A	Dividend	M	T	Sold (part)	11/07/11	J	A	
56. Vanguard Tax Managd Small Cap Fund	A	Dividend	M	T	Sold (part)	12/07/11	J	A	
57. Vanguard Growth Index Fund	A	Dividend			Sold (part)	09/07/11	K	C	
58. Vanguard Growth Index Fund	A	Dividend			Sold	09/26/11	K	C	
59. Vanguard Index Fund	A	Dividend			Sold	05/17/11	J	C	
60. Vanguard Total International Fund	B	Dividend	L	T	Sold (part)	07/28/11	K	A	
61. Vanguard Index Fund-Short Term	A	Dividend	K	T					
62. Vanguard High Yield Corp. Fund	B	Dividend	K	T	Buy	01/03/11	K		
63. Vanguard Wellesley Income Fund	A	Dividend	K	T	Buy	08/03/11	K		
64. PIMCO Unconstrained Bond Fund	A	Dividend	K	T	Buy	08/03/11	K		
65. Amherst NY Rfdg Bond	B	Interest	K	T					
66. Blind Brook-Rye School Dist Bond	A	Interest			Redeemed	05/06/11	J	A	
67. Elwood NY Sch Dist Bond	A	Interest	J	T					
68. New Rochelle Series A Bond	A	Interest			Redeemed	12/15/11	K	A	

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69. NYS Series H Bond	A	Interest			Redeemed	03/15/11	J	A	
70. NYC Series G 5.35% Bonds	B	Interest	K	T					
71. NYS Dorm. Auth Fin. Authority Bonds	B	Interest	J	T					
72. NYS Environmental Facs. Bond	A	Interest			Redeemed	03/18/11	K	A	
73. NYC Transitional Finance Auth Bonds	B	Interest	K	T					
74. Riverhead NY Pub. Bond	A	Interest	J	T					
75. Saratoga Spr. Series A Bond	A	Interest			Redeemed	06/15/11	K	A	
76. Sag Harbor NY Sch Dist Bond	B	Interest	K	T					
77. Berkshire Hathaway		None	K	T					
78. NYS Twy Auth Ser A 5.0%	A	Interest	K	T	Buy	06/16/11	K		
79. Charles Schwab IRA	G	Int./Div.	P1	T					
80. -Schwab US Treas. Money Fund									
81. -Blackrock GNMA					Buy (add'l)	12/07/11	M		
82. -Driehaus Active Income Fund					Buy	01/25/11	N		
83. -Driehaus Active Income Fund					Sold (part)	08/22/11	M		
84. -Driehaus Active Income Fund					Sold	09/20/11	M		
85. -Managers Bond Fund									

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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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86. -Dodge & Cox Income Fund					Sold (part)	08/26/11	M	E	
87. -DoubleLine Total Return Bond Fund									
88. -FPA New Income Fund									
89. -Permanent Portfolio Specialty Fund					Sold (part)	09/22/11	N	F	
90. -Permanent Portfolio Specialty Fund					Sold	09/26/11	M	E	
91. -Rydex Inverse Govt Long Bond Fund					Buy	10/10/11	M		
92. -Rydex Inverse Govt Long Bond Fund					Sold (part)	11/01/11	L		
93. -Rydex Inverse Govt Long Bond Fund					Sold	11/22/11	M		
94. -Rydex Long/Short Interest Rate Strategy					Sold (part)	03/17/11	M		
95. -Invesco Van Kampen Equity & Income Fund					Buy	03/21/11	N		
96. -Invesco Van Kampen Equity & Income Fund					Sold	08/05/11	M		
97. -ProFunds Rising Rates Oppty. Fund					Buy	01/25/11	M		
98. -ProFunds Rising Rates Oppty. Fund					Sold	05/06/11	M		
99. - Vanguard STAR Fund									
100. - Vanguard Wellington Fund									
101. -Vanguard Growth & Income Fund									
102. - Vanguard Explorer Fund									

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103. - Vanguard Equity Fund									
104. - Vanguard 500 Index Fund									
105. NYS 529 College Savings Account (no control)	A	Dividend	J	T					
106. -Mid-Cap Stock Index Portfolio									
107. -Small-Cap Stock Index Portfolio									
108. -Bond Market Index Portfolio									
109. Columbia Univ SIP	B	Dividend	N	T	Buy addtl	01/31/11	J		
110. Charles Schwab IRA	D	Int./Div.	N	T					
111. - Schwab US Treas. Money Fund									
112. -American High Income Bond Fund					Buy (add'l)	04/06/11	K		
113. -American High Income Bond Fund					Buy (add'l)	10/27/11	K		
114. -American High Income Bond Fund					Sold (part)	08/08/11	J		
115. -American Funds Capital Income Builder					Buy (add'l)	01/11/11	J		
116. -American Funds Capital Income Builder					Sold	08/18/11	K		
117. -Bond Fund of America									
118. -Federated Bond Fund									
119. -Loomis Sayles Strategic Income Fund					Sold (part)	08/24/11	J	B	

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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Name of Person Reporting

Gropper, Allan L.

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07/25/2012

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. -Loomis Sayles Strategic Income Fund					Sold	09/22/11	J		
121. -Metropolitan West Total Return Bond Fund									
122. -PIMCO Foreign Bond D									
123. -PIMCO Total Return D									
124. -Invesco Van Kampen Equity & Inc. Fund					Buy	02/10/11	K		
125. -Invesco Van Kampen Equity & Inc. Fund					Buy (add'l)	04/15/11	J		
126. -Invesco Van Kampen Equity & Inc. Fund					Sold (part)	08/04/11	J		
127. -Invesco Van Kampen Equity & Inc. Fund					Sold	08/08/11	J		
128. -ProFunds Rising Rates Oppty. Fund					Buy	10/11/11	J		
129. -ProFunds Rising Rates Oppty. Fund					Sold (part)	11/01/11	J		
130. -ProFunds Rising Rates Oppty. Fund					Sold	11/23/11	J		
131. -Rydex Inverse Govt Long Bond Fund					Buy (add'l)	07/19/11	J		
132. -Rydex Inverse Govt Long Bond Fund					Sold (part)	03/16/11	J		
133. -Rydex Inverse Govt Long Bond Fund					Sold (part)	05/04/11	J		
134. -Rydex Inverse Govt Long Bond Fund					Sold (part)	08/03/11	J		
135. -Rydex Inverse Govt Long Bond Fund					Sold	08/10/11	J		
136. -Rydex Inverse High Yield Strategy H Fund					Buy	09/06/11	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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Name of Person Reporting

Gropper, Allan L.

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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. -Rydex Inverse High Yield Strategy H Fund					Sold	10/26/11	J		
138. -Gateway Index Plus Fund					Sold (part)	08/09/11	J	B	
139. -Gateway Index Plus Fund					Buy (add'l)	12/29/11	J		
140. -Rydex Healthcare Fund					Buy	11/03/11	J		
141. -Rydex Healthcare Fund					Buy (add'l)	11/11/11	J		
142. -Rydex Healthcare Fund					Buy (add'l)	12/29/11	J		
143. -Rydex Healthcare Fund					Sold (part)	11/22/11	J		
144. -Rydex Inverse Emerging Mkts 2X					Buy	03/11/11	J		
145. -Rydex Inverse Emerging Mkts 2X					Sold	07/08/11	J		
146. -Rydex Inverse High Yield Strategy H					Buy	11/17/11	K		
147. -Rydex Inverse High Yield Strategy H					Buy (add'l)	11/23/11	J		
148. -Rydex Inverse High Yield Strategy H					Sold (part)	11/28/11	J	A	
149. -Rydex Inverse High Yield Strategy H					Sold	12/02/11	J		
150. -Loomis Sayles Bond Fund					Buy (add'l)	10/24/11	J		
151. -Loomis Sayles Bond Fund					Sold (part)	11/21/11	J	A	
152. -Loomis Sayles Bond Fund					Sold (part)	09/23/11	K	C	
153. -Loomis Sayles Bond Fund					Buy (add'l)	12/29/11	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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Name of Person Reporting

Gropper, Allan L.

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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. -Pioneer Global High Yield A					Sold (part)	08/09/11	K	C	
155. -Pioneer Global High Yield A					Sold	08/24/11	J	A	
156. -Pioneer High Yield Fund Class A					Sold (part)	08/04/11	K	B	
157. -Pioneer High Yield Fund Class A					Sold	08/08/11	J	A	
158. -Pro Funds Short Real Estate Fund					Buy	09/29/11	J		
159. -Pro Funds Short Real Estate Fund					Sold	10/21/11	J	A	
160. -Rydex Technology					Sold (part)	03/10/11	J	B	
161. -Rydex Technology					Sold (part)	06/10/11	J	A	
162. -Rydex Technology					Sold	06/16/11	J		
163. -DireXion HY Bear Fund					Buy	06/17/11	K		
164. -DireXion HY Bear Fund					Buy (add'l)	08/02/11	J		
165. -DireXion HY Bear Fund					Sold (part)	10/12/11	K		
166. -DWS High-Yield Fund					Buy	10/26/11	J		
167. -DWS High-Yield Fund					Buy (add'l)	10/27/11	J		
168. -JP Morgan Core Plus Bond Fund A									
169. -Franklin Convertible Securities A					Buy	02/08/11	K		
170. -Franklin Convertible Securities A					Sold (part)	08/03/11	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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Name of Person Reporting

Gropper, Allan L.

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07/25/2012

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. -Franklin Convertible Securities A					Sold	08/08/11	J		
172. -Schwab Emerging Markets Equity					Sold (part)	05/24/11	J		
173. -Schwab Emerging Markets Equity					Sold	08/05/11	J		
174. -T.Rowe Price Capital Appreciation					Sold (part)	08/08/11	J	A	
175. -T.Rowe Price Capital Appreciation					Sold	08/18/11	J	A	
176. -Pro Funds Large Cap Growth					Sold (part)	03/15/11	J	A	
177. -Pro Funds Large Cap Growth					Sold	06/14/11	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
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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.)*

Part VII, Line 106. These are monthly contributions to a SIP account by automatic deductions from a paycheck. No further information is available.

Part VII, Line 36. On the 2010 form lines 40 and 48 were duplicates and both showed ownership of South Huntington NY School Dist bonds. This holding has been continued at line 36 only.

Part VII, lines 105-108. In amended report, line 105 has been amended and lines 106-108 have been added in response to letter dated July 17, 2012. All subsequent line numbers have been changed accordingly.

Part VII, lines 176-177. In amended report, lines 176-177 have been added to correct an omission in the initial report, in response to letter dated July 17, 2012.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Gropper, Allan L.

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07/25/2012

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/ Allan L. Gropper

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