

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) Bennett, Thomas B.	2. Court or Organization U.S. Bkr. Ct. for N.D. Ala.	3. Date of Report 05/03/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 Robert S. Vance Federal Bldg. 505 20th Street North, Room 412 Birmingham, AL 35203		
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	Trust
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.		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 01/04/11	Trust--Trustee Fee (Gross sum w/o deduction for expenses)	\$12,000.00
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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. George Mason University Law & Economics	01/22-01/26/11	Tucson, AZ	CLE Program	Partial Transportation, lodging, partial meals
2. Northwestern University Jud. Ed. Program	03/27-03/29/11	Chicago, IL.	CLE Program	Transportation, lodging, partial meals.
3. Alabama State Bar	06/09-06/12/11	Destin, FL.	CLE Program	Transportation, lodging, partial meals.
4. National Conference of Bankruptcy Judges	08/28-08/30/11	Indianapolis, IN	Professional Association Activity	Transportation, lodging, meals
5. George Mason University Law & Economics	10/30-11/01/11	Fairfax, VA	CLE Program	Partial transportation, lodging, partial meals.

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6.	George Mason University Law & Economics	11/13-11/15/11	Fairfax, VA	CLE Program	Partial transportation, lodging, partial meals
7.					

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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. Regions Bank - deposit account		None	J	T					
2. Compass Bank - deposit account		None			Closed	03/18/11	J		
3. Citizens Bank - deposit account		None	J	T					
4. United Bank - deposit account		None	J	T					
5. BB & T - deposit account		None	J	T	Open	03/10/11	J		
6. IRA:									
7. HilliardLyons Money Market	C	Dividend	M	T	Buy/Sell	Vari.	O		See Note 1 Part VIII
8.					Distributed (part)	01/03/11	K		Distbn. To Judge
9.					Distributed (part)	01/05/11	J		Distbn. to Judge
10.					Distributed (part)	02/09/11	J		Distbn. to Judge
11.					Distributed (part)	05/24/11	K		Distbn. to Judge
12.					Distributed (part)	07/06/11	J		Distbn. to Judge
13.					Distributed (part)	07/08/11	J		Distbn. to Judge
14. LTC Properties Inc., 8.0%, pfd	B	Dividend			Redeemed	04/25/11	J	B	
15. Nat'l. City Capt. Tr. VI	B	Dividend			Sold	08/08/11	K	C	
16. Bristol Myers Squibb Co., common	A	Dividend	K	T					
17. Bank One Capt. Tr. III, 6.625%, pfd.	B	Dividend			Sold	08/08/11	K	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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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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. Public Storage, 6.18%, pfd. D	B	Dividend	K	T					
19. Health Care REIT, Pfd., F	B	Dividend	K	T					
20. Progress Energy Inc., common	B	Dividend			Sold	08/08/11	K	B	
21. Wachovia Capt.Trust IV, Pfd.	B	Dividend	K	T					
22. LTC Properties, common	B	Dividend			Sold	08/08/11	K		
23. Dayton Power & Light, common	A	Dividend			Sold	04/20/11	K	C	
24. Universal Corp. VA, common	A	Dividend			Sold	07/18/11	K		
25. Valuevision Media Inc., common	A	Dividend			Sold	05/17/11	K	D	
26. Valuevision Media Inc., common	A	Dividend	K	T	Buy	10/12/11	K		
27. Regions Fin. Corp. Senior Note, 4.875%, 04/26/13	B	Interest			Sold	05/05/11	L	C	
28. Petrohawk Energy Corp., common	A	Dividend			Sold	01/07/11	K	A	
29. Anadarko Petroleum Corp., common	A	Dividend			Buy	01/03/11	K		
30.					Sold	02/01/11	K	A	
31. Nisource, Inc., common	A	Dividend			Buy	01/13/11	K		
32.					Sold	08/08/11	K	A	
33. Park National Corp., common	B	Dividend			Buy	02/02/11	K		
34.					Sold	08/08/11	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
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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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☐ 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)
35. Park National Corp., common	A	Dividend			Buy	08/17/11	K		
36.					Sold	11/4/11	K	B	
37. Kimco Realty Corp., Pfd. H	A	Dividend			Buy	02/15/11	K		
38.					Sold	07/14/11	K	A	
39. American Electric Power Co., Inc., common	A	Dividend	K	T	Buy	04/26/11	K		
40. Exelon Corp, common	A	Dividend	K	T	Buy	04/26/11	K		
41. First Energy Corp., common	A	Dividend			Buy	04/26/11	K		
42.					Sold	08/08/11	K	A	
43. Omega Healthcare Investors Inc., common	A	Dividend	K	T	Buy	08/31/11	K		
44. Huntington Bankshares Inc., common	A	Dividend			Buy	09/07/11	J		
45.					Sold	12/06/11	J	A	
46. BGC Partners Inc., common	A	Dividend	J	T	Buy	10/12/11	J		
47. Trust:									
48. Neuberger & Berman Focus Fund-mutual fund	A	Dividend	J	T					
49. HilliardLyons, Inc. Govt. Fund-money market	B	Dividend	M	T	Buy/Sell	Vari.	O		See Note 2 Part VIII
50.					Distributed (part)	01/03/11	J		Distbn. to Beneficiary
51.					Distributed (part)	04/05/11	J		Distbn. to Beneficiary

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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52.					Distributed (part)	07/15/11	J		Distbu. to Beneficiary
53.					Distributed (part)	10/12/11	J		Distbu. to Beneficiary
54.					Distributed (part)	01/04/11	J		Payment of Trustee Fee
55. Mineral Interest Hart #2 & Denmark #1, Marion County, WV	B	Royalty	J	T					
56. Mineral Interest Hawker Wells, Marion Cty, WV	C	Royalty	J	T					
57. Mineral Interest Speedway Play, Roane Cty., WV		None	J	T					
58. Bank One Cap. Tr. VI, 7.2%, pfd.	B	Dividend	K	T					
59. First Bank Puerto Rico, 2.35%, CD, 09/04/12	B	Interest	L	T					
60. GE Money Bank, CD, 1.7%, 10/17/11	A	Interest			Redeemed	10/17/11	K	A	
61. LTC Property cum. pfd. F, 8%	A	Dividend			Redeemed	04/25/11	J	A	
62. Nat'l City Cap.Tr. III, 6.625%, pfd.	B	Dividend	K	T					
63. Peoples Bank of Wisconsin, 2.5%, CD, 09/04/13	B	Interest	L	T					
64. Republic Bank, 2.65%, CD, 07/13/12	C	Interest	M	T					
65. Republic Bank, 2.25%, CD, 09/17/12	B	Interest	L	T					
66. Sallie Mae Bank, 3.35%, CD, 05/28/13	A	Interest	K	T					
67. Saturnus, Dayton PL Tr. II, 7.875%, pfd.	A	Dividend			Redeemed	03/01/11	K	A	
68. Wachovia IX, 6.375%, pfd.	B	Dividend	K	T					

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69. Bristol Myers Squibb Co., common	A	Dividend			Sold	08/05/11	J	A	
70. Public Storage, Pfd. D	B	Dividend	K	T					
71. First Sentry Bank, 1.8%, C,D 01/22/13	A	Interest	K	T					
72. Amer. Express Centurion Bk., 1.35%, CD, 02/03/12	A	Interest	L	T					
73. Alcoa Inc., 5.375%, bond, 01/15/13	B	Interest			Sold	04/21/11	L	B	
74. Hospitality Prop. Trust, 6.85%, Sr. Note, 07/15/12	B	Interest	K	T					
75. Altria Group Inc., common	B	Dividend	K	T					
76. Health Care REIT, Pfd. F	A	Dividend			Sold	08/05/11	K		
77. Regions Financial Corp., 4.875%, Sr. Note, 04/26/13	B	Interest	K	T					
78. Morgan Stanley Med. Term Note, 4.2%, 04/26/13	B	Interest	M	T					
79. LTC Properties Inc., common	A	Dividend			Sold	08/05/11	K		
80. Dow Chemical Co., internotes, 3.3%, 09/15/15	A	Interest	K	T					
81. Dow Chemical co., internotes, 4.1%, 09/15/17	A	Interest	K	T					
82. Morgan Stanley Dean Witt., Sr. Note, 4.0%, 09/22/20	A	Interest	M	T					
83. Nisource, Inc., common	B	Dividend	K	T	Buy	01/31/11	K		
84. American Elec. Power Co., Inc., common	A	Dividend	K	T	Buy	04/26/11	K		
85. Excelon Corp., common	B	Dividend	K	T	Buy	04/26/11	K		

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86. First Energy Corp., common	A	Dividend			Buy	04/26/11	K		
87.					Sold	08/05/11	K	A	
88. EQT Class Action Settlement	A	Distribution			Distributed	01/31/11	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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Note 1 to Part VII, Investments and Trusts: This is a money market account with respect to which there were various deposits and withdrawals. The money market fund investments are not under the control of the owner(s) and/or beneficiary(ies). Also, all deposits and withdrawals are reflected on lines 7 through 46 of Part VII and were composed of dividends, interest, sales proceeds, redemption proceeds, call proceeds, purchases, and distributions to Judge as described on the referenced lines of Part VII.

Note 2 to Part VII, Investments and Trusts: This is a money market account with respect to which there were various deposits and withdrawals. The money market fund investments are not under the control of the owner(s) and/or beneficiary(ies). Also, all deposits and withdrawals are reflected on lines 49 through 88 of Part VII and line 1 of Part III A and were composed of dividends, interest, sale proceeds, redemption proceeds, call proceeds, purchases and distributions to the income beneficiary as described on lines 48 through 88 of Part VII along with the Trustee payment referenced on line 1 of Part III A and on line 54 of Part VII..

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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/ Thomas B. Bennett**

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