

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) Peck,, James M.	2. Court or Organization USBC/SDNY	3. Date of Report 09/14/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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. 2011	Earle K. & Katherine F. Moore Foundation - Trustee Fee
2. 2011	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. The World Bank	1/10/11 - 1/11/11	Washington, D.C.	Attend meeting of World Bank Insolvency Task Force	transportation, lodging and food
2. University of British Columbia and National Judicial Institute of Canada	2/2/11 - 2/4/11	Toronto, Ontario, Canada	Speaker at Annual Review of Insolvency Law Conference	transportation, lodging and food
3. American Bankruptcy Institute	2/23/11 - 2/26/11	Las Vegas, Nevada	Speaker at Valcon Conference organized by University of Texas Law School	transportation, lodging and food

FINANCIAL DISCLOSURE REPORT

Page 3 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

4.	INSOL International	3/12/11-3/13/11	Singapore	Participant and speaker at INSOL UNCITRAL, World Bank Judicial Colloquium	partial stipend for transportation, lodging and food
5.	American Bankruptcy Institute	3/31/11 - 4/1/11	Washington. D.C.	Speaker at Annual Spring Meeting	transportation, lodging and food
6.	Association of Commercial Finance Attorneys	5/13/11 - 5/15/11	Montreal, Quebec, Canada	Speaker at continuing legal education program	transportation, lodging and food
7.	Cincinnati Bar Association	8/11/11 - 8/12/11	Cincinnati, Ohio	Speaker at Midwest Regional Bankruptcy Seminar	transportation, lodging and food
8.	American Bankruptcy Institute and Georgetown Law School	9/16/11	Washington, D.C.	Speaker at "Views from the Bench" Conference	transportation , lodging and food
9.	INSOL Europe	9/22/11 - 9/25/11	Venice, Italy	Speaker at INSOL Europe Congress	transportation, lodging and food
10.	National Conference of Bankruptcy Judges	10/11/11 - 10/15/11	Tampa, Florida	Speaker at NCBJ annual conference	transportation, lodging and food
11.	American Bankruptcy Institute	11/5/11 - 11/7/11	Toronto, Ontario, Canada	Speaker at Canadian/ American Cross-Border Insolvency Symposium	transportation, lodging and food

FINANCIAL DISCLOSURE REPORT

Page 4 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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 I (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	M	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	Buy	06/14/11	K		
6. Brokerage-BlackRock Global Allocation Fund (X)	A	Dividend			Buy	5/24/11	J		
7. Brokerage-BlackRock Global Allocation Fund (X)		None			Sold	09/29/11	J		
8. Brokerage-Driehaus Mutual Fund Active Income (X)	A	Dividend	J	T	Buy (add'l)	05/24/11	J		
9. Brokerage-Eaton Vance Global Macro	A	Dividend	J	T					
10. Brokerage-Fidelity Floating Rate (X)	A	Dividend	J	T	Buy (add'l)	05/24/11	J		
11. Brokerage-iShares Barclays Aggregated Bond Fund (X)	A	Dividend	K	T	Buy	09/28/11	K		
12. Brokerage-Loomis Sayles Bond Fund (X)	A	Dividend			Buy	05/24/11	J		
13. Brokerage-Loomis Sayles Bond Fund(X)		None			Sold	09/29/11	J	A	
14. Brokerage-Manning & Napier Equity Series (X)		None			Buy	05/24/11	K		
15. Brokerage-Manning & Napier Equity Series (X)		None			Sold	09/29/11	K		
16. Brokerage-Matthews Asian Funds(X)	A	Dividend			Buy	05/24/11	K		
17. Brokerage-Matthews Asian Funds(X)		None			Sold	12/07/11	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)

18. Brokerage-Pimco All Asset/Authority Fund	A	Dividend	J	T					
19. Brokerage- Pimco Total Return Fund	A	Dividend	K	T	Sold (part)	09/29/11	K	A	
20. Brokerage-Schwab Cap TR S&P Invest Select Shares(X)	B	Dividend	L	T	Buy	05/24/11	L		
21. Brokerage-T Rowe Price Capital Appreciation Fund	D	Dividend			Sold	09/29/11	K	B	
22. Brokerage-Templeton Global Bond(X)	A	Dividend	J	T					
23. Brokerage- Vanguard Total INTL Stock(X)	A	Dividend	J	T	Buy	12/06/11	J		
24. Brokerage-Wasatch Equity Fund(X)	C	Dividend			Buy	05/24/11	K		
25. Brokerage-Wasatch Equity Fund(X)		None			Sold	09/29/11	K	A	
26. Brokerage- Wasatch Long/Short Fund(X)	A	Dividend	J	T	Buy	05/24/11	J		
27. Brokerage-Wasatch Long/Short Fund(X)		None			Sold	09/29/11	J		
28. Brokerage-Westcore Select Fund(X)		None			Buy	05/24/11	K		
29. Brokerage-Westcore Select Fund(X)		None			Sold	09/29/11	K		
30. Brokerage- Wells Fargo FDS ADVIN (X)	A	Dividend	K	T	Buy	09/28/11	K		
31. Brokerage- Wells Fargo ADV(X)	A	Dividend	J	T	Buy (add'l)	05/24/11	J		
32. IRA-Alliant TechSystems(X)	A	Interest	J	T	Buy	08/10/11	J		
33. IRA-Altria Group Inc.(X)	A	Interest	J	T	Buy	07/06/11	J		
34. IRA-Anadarko Pete Corp.(X)	A	Interest	J	T	Buy	06/22/11	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
35. IRA-Autozone Inc(X)	A	Interest	J	T	Buy	08/08/11	J		
36. IRA-Autozone Inc(X)	A	Interest	J	T	Buy (add'l)	09/13/11	J		
37. IRA-Ball Corp(X)	A	Interest	J	T	Buy	09/27/11	J		
38. IRA-Bank of America Corp(X)	A	Interest			Buy	07/06/11	J		
39. IRA-Bank of America Corp(X)		None			Sold	07/26/11	J		
40. IRA-Clean Harbors Inc.(X)	A	Interest	J	T	Buy	06/23/11	J		
41. IRA-Comcast Corp(X)	A	Interest	J	T	Buy	07/21/11	J		
42. IRA-Coventry Health Care Inc(X)	A	Interest	J	T	Buy	08/01/11	J		
43. IRA-Crown Castle Intl Corp(X)		None	J	T	Buy	07/13/11	J		
44. IRA-Deluxe Corp(X)	A	Interest	J	T	Buy	07/12/11	J		
45. IRA-Donnelley R R&Sons Co 4.95%(X)	A	Interest	J	T	Buy	09/15/11	J		
46. IRA-Donnelley R R&Sons Co 4.95%(X)	A	Interest	J	T	Buy (add'l)	11/15/11	J		
47. IRA-Donnelley R R&Sons Co 5.5%(X)	A	Interest	J	T	Buy	06/21/11	J		
48. IRA-Echostar DBS Corp(X)	A	Interest	J	T	Buy	07/07/11	J		
49. IRA-Ford Motor Credit Co(X)	A	Interest	J	T	Buy	07/05/11	J		
50. IRA-Forrest Oil Corp(X)		None	J	T	Buy	08/15/11	J		
51. IRA-Freeport-McMoran Copper&Gold(X)	A	Interest	J	T	Buy	06/22/11	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)

52. IRA-Frontier Communications Corp(X)	A	Interest	J	T	Buy	07/07/11	J		
53. IRA-General Electric(X)	A	Interest	J	T	Buy	07/15/11	J		
54. IRA- GSC HLDGS Corp/ Gamestop Inc(X)	A	Interest	J	T	Buy	06/21/11	J		
55. IRA- GSC HLDGS Corp/ Gamestop Inc(X)		None			Sold (part)	10/06/11	J		
56. IRA-GSC HLDGS Corp/Gamestop Inc(X)		None			Sold	12/20/11	J	A	
57. IRA-Host Hotels&Restorts(X)	A	Interest	J	T	Buy	07/14/11	J		
58. IRA-INTL Paper Co(X)	A	Interest	J	T	Buy	08/03/11	J		
59. IRA-Iron MTN Inc(X)	A	Interest	J	T	Buy	09/13/11	J		
60. IRA-Iron MTN Inc(X)		None	J	T	Buy (add'l)	10/12/11	J		
61. IRA-Kansas City Southern(X)	A	Interest	J	T	Buy	06/22/11	J		
62. IRA- Kellogg Co(X)	A	Interest	J	T	Buy	07/07/11	J		
63. IRA-Metlife Inc(X)	A	Interest	J	T	Buy	08/02/11	J		
64. IRA- Nextel Communications Inc(X)	A	Interest	J	T	Buy	06/20/11	J		
65. IRA-Peabody Energy Corp(X)		None	J	T	Buy	11/15/11	J		
66. IRA- Prudential Finl Inc MTNS Book(X)		None	J	T	Buy	11/10/11	J		
67. IRA- Qwest Corp(X)	A	Interest	J	T	Buy	07/05/11	J		
68. IRA- Qwest Corp(X)		None	J	T	Buy (add'l)	10/06/11	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
69. IRA-Seagate Technology HDD(X)	A	Interest	J	T	Buy	7/21/11	J		
70. IRA-Seagate Technology HDD(X)		None	J	T	Buy (add'l)	08/24/11	J		
71. IRA-Service Corp INTL(X)		None	J	T	Buy	10/17/11	J		
72. IRA-Silgan Holdings Inc(X)		None	J	T	Buy	09/28/11	J		
73. IRA-Steel Dynamics(X)	A	Interest			Buy	07/20/11	J		
74. IRA-Steel Dynamics(X)		None			Buy (add'l)	09/09/11	J		
75. IRA-Steel Dynamics(X)		None			Sold	10/19/11	J		
76. IRA-Tesoro Corp(X)		None			Buy	06/14/11	J		
77. IRA-Tesoro Corp(X)		None			Sold	09/27/11	J		
78. IRA-Unisys Corp(X)		None	J	T	Buy	10/19/11	J		
79. IRA-Valero Energy Corp(X)		None	J	T	Buy	11/17/11	J		
80. IRA-Vornado RLTY (X)		None	J	T	Buy	10/07/11	J		
81. IRA Vornado RLTY(X)		None			Sold	11/14/11	J	A	
82. IRA R/O Schwab-Blackrock Global Allocation	A	Dividend			Sold	4/13/11	L	C	
83. IRA R/O Schwab-Driehaus Mutual Funds Active Income	B	Dividend	K	T	Buy (add'l)	03/28/11	J		
84. IRA R/O Schwab- Driehaus Mutual Funds Active Income		None	K	T	Sold (part)	04/13/11	K	A	
85. IRA R/O Schwab-Fairholme Fund		None			Buy (add'l)	02/04/11	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
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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
86. IRA R/O Schwab- Fairholme Fund		None			Sold (part)	03/29/11	K	A	
87. IRA R/O Schwab- Fairholme Fund		None			Sold (part)	04/13/11	L	A	
88. IRA R/O Schwab-Fidelity Floating Rate(X)	B	Dividend	J	T	Buy	01/21/11	L		
89. IRA R/O Schwab-Fidelity Floating Rate(X)		None	J	T	Sold (part)	04/13/11	L	A	
90. IRA R/O Schwab- FMI FDS Inc(X)		None			Buy	01/21/11	L		
91. IRA R/O Schwab- FMI FDS Inc(X)		None			Buy (add'l)	02/04/11	J		
92. IRA R/O Schwab-FMI FDS Inc(X)		None			Sold	04/13/11	L	B	
93. IRA R/O Schwab-Greenhaven Cont Inx (X)		None	K	T	Buy	01/21/11	L		
94. IRA R/O Schwab-Greenhaven Cont Inx(X)		None	K	T	Sold (part)	04/15/11	K	B	
95. IRA R/O Schwab-Greenspring FD Inc	B	Dividend	K	T	Sold (part)	04/13/11	K	B	
96. IRA R/O Schwab-Harding Loevner Emerg mkt's Fund		None			Sold	04/13/11	K	A	
97. IRA R/O Schwab- IVY FDS INC ASSET STRATGY(X)		None			Buy (add'l)	01/21/11	L		
98. IRA R/O Schwab- IVY FDS INC ASSET STRATEGY		None			Buy (add'l)	02/04/11	K		
99. IRA R/O Schwab-Ivy FDS INC ASSET STRATEGY(X)		None			Sold	09/28/11	L	B	
100. IRA R/O Schwab-Manning&Napier Equity Series Fund		None			Buy (add'l)	02/04/11	J		
101. IRA R/O Schwab -Manning&Napier Equity Series Fund		None			Sold	09/28/11	L	B	
102. IRA R/O Schwab- Matthews Asian Funds Asian Growth & Inc	A	Dividend			Buy (add'l)	01/21/11	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
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
103. IRA R/O Schwab-Matthews Asian Funds Asian Growth & Inc		None			Sold	12/06/11	K	B	
104. IRA R/O Schwab- Nuveen INVT		None			Sold	06/01/11	K	A	
105. IRA R/O Schwab- Parnassus FD		None			Sold (part)	06/01/11	K		
106. IRA R/O Schwab-Parnassus FD(X)		None			Sold	08/08/11	K		
107. IRA R/O Schwab-Perkins Mid Cap Value FD		None			Sold (part)	06/01/11	K	C	
108. IRA R/O Schwab-Perkins Mid Cap Value FD		None			Sold (part)	09/28/11	K		
109. IRA R/O Schwab-Pimco ALL ASSET ALL AUTHORITY	C	Dividend			Sold (part)	04/12/11	K		
110. IRA R/O Schwab- Pimco ALL ASSET ALL AUTHORITY		None			Sold (part)	06/01/11	J	A	
111. IRA R/O Schwab-Putnam Voyager FD Inc(X)		None			Buy	02/04/11	L		
112. IRA R/O Schwab-Putnam Voyager FD Inc(X)		None			Sold	06/01/11	K		
113. IRA R/O Schwab- Ridgeworth Seix Floating Rate(X)	B	Dividend			Buy (add'l)	01/21/11	L		
114. IRA R/O Schwab- Ridgeworth Seix Floating Rate(X)		None			Sold	06/01/11	L		
115. IRA R/O Schwab-Schwab Cap TR S&P 500 Select shares(X)	C	Dividend	L	T	Buy	03/28/11	L		
116. IRA R/O Schwab- T Rowe Price Capital Appreciation FD		None			Buy (add'l)	03/28/11	J		
117. IRA R/O Schwab- T Rowe Price Capital Appreciation FD		None			Sold	09/28/11	L	C	
118. IRA R/O Schwab- Templeton Income(X)		None			Buy (add'l)	01/21/11	L		
119. IRA R/O Schwab- Templeton Income(X)	C	Dividend			Buy (add'l)	02/04/11	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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. IRA R/O Schwab- Templeton Income (X)		None			Sold	06/01/11	L	B	
121. IRA R/O Schwab- Thornburg INVT (X)	B	Dividend			Buy	02/04/11	L		
122. IRA R/O Schwab- Thornburg INVT (X)		None			Sold (part)	04/13/11	K	A	
123. IRA R/O Schwab- Thornburg INVT (X)		None			Sold	09/28/11	K	A	
124. IRA R/O Schwab- Wasatch 1st Source Long/Short Fund(X)	A	Dividend			Buy (add'l)	01/21/11	L		
125. IRA R/O Schwab- Wasatch 1st Source Long/Short Fund(X)		None			Buy (add'l)	03/28/11	J		
126. IRA R/O Schwab- Wasatch 1st Source Long/Short Fund(X)		None			Sold (part)	04/13/11	L	C	
127. IRA R/O Schwab- Wasatch 1st Source Long/Short Fund(X)		None			Sold	09/28/11	K	A	
128. IRA R/O Schwab- Westcore Select Fund		None			Buy (add'l)	02/04/11	J		
129. IRA R/O Schwab- Westcore Select Fund		None			Sold	09/28/11	L	D	
130. IRA R/O Hamlin-Abbott Labs(X)	A	Dividend	J	T	Buy	06/03/11	J		
131. IRA R/O Hamlin- Abbott Labs(X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
132. IRA R/O Hamlin- Alliance Resource Partners(X)	A	Dividend	J	T	Buy	06/03/11	J		
133. IRA R/O Hamlin- Alliance Resource Partners(X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
134. IRA R/O Hamlin-AT&T(X)	A	Dividend	J	T	Buy	06/03/11	J		
135. IRA R/O Hamlin- Baytex Energy Trust(X)	A	Dividend	J	T	Buy	06/03/11	J		
136. IRA R/O Hamlin-Bristol-Meyers Squibb Co(X)	A	Dividend	J	T	Buy	06/03/11	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
137. IRA R/O Hamlin-Bristol-Meyers Squibb Co(X)		None			Sold (part)	09/27/11	J	B	
138. IRA R/O Hamlin- Canadian Oil Sands(X)	A	Dividend	J	T	Buy	06/03/11	J		
139. IRA R/O Hamlin-Chevron Corp(X)	A	Dividend	J	T	Buy	06/03/11	J		
140. IRA R/O Hamlin- Chevron Corp(X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
141. IRA R/O Hamlin-Cinemark Holdings Inc(X)	A	Dividend	J	T	Buy	06/03/11	J		
142. IRA R/O Hamlin- Cinemark Holdings Inc(X)	A	Dividend	J	T	Buy (add'l)	06/09/11	J		
143. IRA R/O Hamlin- Cinn Financial Corp(X)	A	Dividend	J	T	Buy	06/03/11	J		
144. IRA R/O Hamlin-Conagra(X)	A	Dividend	J	T	Buy	06/03/11	J		
145. IRA R/O Hamlin- Conocophillips(X)	A	Dividend	J	T	Buy	06/03/11	J		
146. IRA R/O Hamlin-Douglas Dynamics Inc(X)	A	Dividend			Buy	06/03/11	J		
147. IRA R/O Hamlin-Douglas Dynamics Inc(X)		None			Sold	10/31/11	J		
148. IRA R/O Hamlin- E I Du Pont De Nemours & Co(X)	A	Dividend	J	T	Buy	06/03/11	J		
149. IRA R/O Hamlin-Enbridge Energy Partners(X)	A	Dividend	J	T	Buy	06/03/11	J		
150. IRA R/O Hamlin- Enbridge Energy Partners (X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
151. IRA R/O Hamlin- Enduro Royalty Trust (X)	A	Dividend	J	T	Buy	11/03/11	J		
152. IRA R/O Hamlin-Enerplus Res FD TR(X)	A	Dividend			Buy	06/03/11	J		
153. IRA R/O Hamlin-Enerplus Res FD TR(X)		None			Sold	12/06/11	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
154. IRA R/O Hamlin-Federated Investors Inc(X)	A	Dividend	J	T	Buy	06/10/11	J		
155. IRA R/O Hamlin- Federated Investors Inc(X)	A	Dividend	J	T	Buy (add'l)	06/24/11	J		
156. IRA R/O Hamlin-FNB Corp Com(X)	A	Dividend	J	T	Buy	06/03/11	J		
157. IRA R/O Hamlin- FNB Corp Com(X)	A	Dividend	J	T	Buy (add'l)	06/09/11	J		
158. IRA R/O Hamlin-Freeport McMoran Copper & Gold(X)		None	J	T	Buy	11/01/11	J		
159. IRA R/O Hamlin- Freeport Mcmorman Copper & Gold (X)		None	J	T	Buy (add'l)	11/09/11	J		
160. IRA R/O Hamlin-Gallagher Arthur J & Co(X)	A	Dividend	J	T	Buy	06/03/11	J		
161. IRA R/O Hamlin- Gallagher Arthur J & Co(X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
162. IRA R/O Hamlin- Gallagher Arthur J & Co(X)	A	Dividend	J	T	Buy (add'l)	07/27/11	J		
163. IRA R/O Hamlin-Genuine Parts Co(X)	A	Dividend	J	T	Buy	06/03/11	J		
164. IRA R/O Hamlin-Heinz H J Co(X)	A	Dividend	J	T	Buy	06/03/11	J		
165. IRA R/O Hamlin- Heinz H J Co(X)	A	Dividend	J	T	Buy (add'l)	08/05/11	J		
166. IRA R/O Hamlin-Hospitality Prop Trust(X)	A	Dividend	J	T	Buy	06/03/11	J		
167. IRA R/O Hamlin- INTEL Corp(X)	A	Dividend	J	T	Buy	08/11/11	J		
168. IRA R/O Hamlin-Kimberly Clark(X)	A	Dividend	J	T	Buy	06/03/11	J		
169. IRA R/O Hamlin- Kimberely Clark (X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
170. IRA R/O Hamlin-Kimberly Clark(X)		None	J	T	Sold (part)	08/16/11	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
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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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. IRA R/O Hamlin-Leggett & Platt Inc(X)	A	Dividend	J	T	Buy	06/03/11	J		
172. IRA R/O Hamlin- Leggett & PLatt Inc (X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
173. IRA R/O Hamlin-Lockheed Martin Corp(X)	A	Dividend	J	T	Buy	06/03/11	J		
174. IRA R/O Hamlin- Lockheed Martin Corp(X)	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
175. IRA R/O Hamlin-Merck &Co(X)	A	Dividend	J	T	Buy	06/03/11	J		
176. IRA R/O Hamlin-Meredith Corp(X)	A	Dividend	J	T	Buy	11/02/11	J		
177. IRA R/O Hamlin-Meredith Corp(X)	A	Dividend	J	T	Buy (add'l)	11/09/11	J		
178. IRA R/O Hamlin-National Cinmedia(X)	A	Dividend	J	T	Buy	06/07/11	J		
179. IRA R/O Hamlin- National Cinmedia(X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
180. IRA R/O Hamlin- National Cinmedia(X)	A	Dividend	J	T	Buy (add'l)	06/15/11	J		
181. IRA R/O Hamlin-Nucor Corp(X)	A	Dividend	J	T	Buy	08/26/11	J		
182. IRA R/O Hamlin- Nucor Corp(X)	A	Dividend	J	T	Buy (add'l)	09/27/11	J		
183. IRA R/O Hamlin- Nucor Corp(X)	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
184. IRA R/O Hamlin-Penn VA RES Partners(X)		None	J	T	Buy	12/05/11	J		
185. IRA R/O Hamlin- RR Donnelley Sons(X)	A	Dividend			Buy	06/03/11	J		
186. IRA R/O Hamlin-RR Donnelley Sons(X)		None			Sold	11/01/11	J		
187. IRA R/O Hamlin-Rayonier INC REIT(X)	A	Dividend	J	T	Buy	06/03/11	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
188. IRA R/O Hamlin- RPM INTL Inc(X)	A	Dividend	J	T	Buy	07/29/11	J		
189. IRA R/O Hamlin- RPM INTL Inc(X)	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
190. IRA R/O Hamlin-Sunoco Logistics Partners(X)	A	Dividend			Buy	06/03/11	J		
191. IRA R/O Hamlin-Sunoco Logistics Partners(X)		None			Sold	10/31/11	J	A	
192. IRA R/O Hamlin-Sunoco Products Co(X)	A	Dividend	J	T	Buy	06/03/11	J		
193. IRA R/O Hamlin-Sysco(X)	A	Dividend			Buy	06/03/11	J		
194. IRA R/O Hamlin- Sysco(X)		None			Buy (add'l)	07/08/11	J		
195. IRA R/O Hamlin-Sysco(X)		None			Sold (part)	08/16/11	J		
196. IRA R/O Hamlin-Sysco(X)		None			Sold	10/07/11	J		
197. IRA R/O Hamlin- Telefonicas Sponsored ADR(X)		None			Buy	06/03/11	J		
198. IRA R/O Hamlin- Telefonicas Sponsored ADR(X)		None			Sold (part)	08/16/11	J		
199. IRA R/O Hamlin-Telefonicas Sponsored ADR(X)		None			Sold	08/25/11	J		
200. IRA R/O Hamlin- Unilever PLC(X)	A	Dividend	J	T	Buy	06/03/11	J		
201. IRA R/O Hamlin-Unilever PLC(X)	A	Dividend	J	T	Buy (add'l)	07/08/11	J		
202. IRA R/O Hamlin-Valley National Bancorp(X)	A	Dividend	J	T	Buy	06/03/11	J		
203. IRA R/O Hamlin- Valley National Bancorp(X)	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
204. IRA R/O Schwab 2- BBH FD Inc(X)	A	Dividend	K	T	Buy	06/15/11	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		

FINANCIAL DISCLOSURE REPORT

Page 17 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
205. IRA R/O Schwab 2-Blackrock Global Allocation(X)	A	Dividend			Sold	09/29/11	K	A	
206. IRA R/O Schwab 2-Driehaus Mutual FDS(X)	B	Dividend	K	T	Sold (part)	06/02/11	J	A	
207. IRA R/O Schwab 2-Fairholme Fund		None			Sold (part)	03/28/11	K		
208. IRA R/O Schwab 2-Fairholme Fund		None			Sold (part)	06/02/11	K		
209. IRA R/O Schwab 2-Fairholme Fund		None			Sold	06/16/11	K		
210. IRA R/O Schwab 2-Fidelity Floating Rate High Income	B	Dividend	J	T	Sold (part)	06/02/11	L	B	
211. IRA R/O Schwab 2-Greenhaven cont INX FD(X)		None	K	T	Buy	01/21/11	K		
212. IRA R/O Schwab 2-Greenhaven cont INX FD(X)		None	K	T	Sold (part)	04/18/11	K		
213. IRA R/O Schwab 2-Greenspring FD Inc(X)	B	Dividend	K	T	Sold (part)	06/02/11	K		
214. IRA R/O Schwab 2-Harding Loevner Emerging Mkt Fund		None			Sold (part)	06/02/11	K		
215. IRA R/O Schwab 2-Harding Loevner Emerging Mkt Fund		None			Sold	11/17/11	K	A	
216. IRA R/O Schwab 2-ISHARES Barclays Tips Bond FD	A	Dividend			Sold	06/06/11	J	A	
217. IRA R/O Schwab 2-ISHARES TR Lehman AGG Bnd(X)	B	Dividend	L	T	Buy	09/28/11	L		
218. IRA R/O Schwab 2-Ivy FDS Inc(X)		None			Buy	01/21/11	K		
219. IRA R/O Schwab 2-Ivy FDS Inc(X)		None			Sold (part)	06/02/11	K	A	
220. IRA R/O Schwab 2-Ivy FDS Inc(X)		None			Sold	09/29/11	K	A	
221. IRA R/O Schwab 2-Manning & Napier Equity Series Fund		None	K	T	Sold (part)	06/02/11	K		

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 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 18 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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 I (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 R/O Schwab 2-Manning & Napier Equity Series Fund		None			Sold	09/29/11	L		
223. IRA R/O Schwab 2- Matthews Asian Funds	A	Dividend			Sold (part)	06/02/11	J		
224. IRA R/O Schwab 2- Matthews Asian Funds		None			Sold	12/07/11	J		
225. IRA R/O Schwab 2-Nuveen INT TR(X)		None			Sold	06/02/11	K	B	
226. IRA R/O Schwab 2-Parnassus FD		None			Sold (part)	06/02/11	K	A	
227. IRA R/O Schwab 2-Parnassus FD		None			Sold	08/09/11	K	A	
228. IRA R/O Schwab 2-Perkins Mid Cap Value		None			Buy	04/18/11	K		
229. IRA R/O Schwab 2-Perkins Mid Cap Value		None			Sold (part)	06/02/11	K	A	
230. IRA R/O Schwab 2-Perkins Mid Cap Value		None			Sold	09/29/11	K	A	
231. IRA R/O Schwab 2-PIMCO ALL ASSET/ AUTHORITY Fund	B	Dividend	J	T	Buy (add'l)	03/17/11	K		
232. IRA R/O Schwab 2-PIMCO ALL ASSET/ AUTHORITY I		None	J	T	Sold (part)	06/02/11	J	A	
233. IRA R/O Schwab 2- Polen Growth(X)	A	Dividend	K	T	Buy (add'l)	08/08/11	K		
234. IRA R/O Schwab 2-Putnam Voyager FD(X)		None			Sold	06/02/11	K		
235. IRA R/O Schwab 2-Ridgeworth Seix Floating Rate	B	Dividend			Sold	06/02/11	L		
236. IRA R/O Schwab 2-Royce Low Priced		None			Sold	06/02/11	J	A	
237. IRA R/O Schwab 2-Schwab Cap TR S&P 500 Invs Select(X)	C	Dividend	M	T	Buy (add'l)	09/28/11	M		
238. IRA R/O Schwab 2-Schwab Cap TR S&P 500 Invs Select(X)		None	M	T	Sold (part)	06/02/11	L	A	

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		

FINANCIAL DISCLOSURE REPORT

Page 19 of 28

Name of Person Reporting

Peck, James M.

Date of Report

09/14/2012

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)

239. IRA R/O Schwab 2- Steelpath MLP	B	Dividend	J	T					
240. IRA R/O Schwab 2- T Rowe Price Capital Appreciation		None			Sold (part)	06/02/11	J	B	
241. IRA R/O Schwab 2- T Rowe Price Capital Appreciation		None			Sold	09/29/11	J	A	
242. IRA R/O Schwab 2-Templeton Income	C	Dividend	K	T	Sold (part)	06/02/11	K	A	
243. IRA R/O Schwab 2-Thornburg INVT(X)	A	Dividend			Buy (add'l)	05/09/11	J		
244. IRA R/O Schwab 2-Thornburg INVT(X)		None			Sold (part)	06/02/11	K	A	
245. IRA R/O Schwab 2-Thornburg INVT(X)		None			Sold	09/29/11	K		
246. IRA R/O Schwab 2-Vanguard Total INTL(X)	B	Dividend	K	T	Buy (add'l)	11/16/11	K		
247. IRA R/O Schwab 2-Vanguard Total INTL(X)	B	Dividend	K	T	Buy (add'l)	12/06/11	K		
248. IRA R/O Schwab 2-Wasatch 1st Source Long/Short Fund	A	Dividend			Sold (part)	06/02/11	L		
249. IRA R/O Schwab 2-Wasatch 1st Source Long/Short Fund		None			Sold	09/29/11	L		
250. IRA R/O Schwab 2-Westcore Select Fund(X)	A	Dividend			Sold (part)	06/02/11	K	A	
251. IRA R/O Schwab 2-Westcore Select Fund(X)		None			Sold	09/29/11	K	B	
252. SRZ Retirement Savings- Oakmark Equity	A	Dividend			Sold	06/14/11	J		
253. Standish Schwab-Citizens PPTY Ins Corp(X)	A	Interest	K	T	Buy	06/30/11	K		
254. Standish Schwab-Detroit Mich City Sch Dist(X)	B	Interest	K	T	Buy	07/13/11	K		
255. Standish Schwab-E 470 Pub HWY Auth(X)	A	Interest	K	T	Buy	06/23/11	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
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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)

256. Standish Schwab-Houston Tex Hotel Occupancy(X)		None	K	T	Buy	07/20/11	K		
257. Standish Schwab-Louisiana HSG FIN AGY MTG(X)	A	Interest			Sold	07/07/11	K		
258. Standish Schwab-Metropolitan Transn Auth(X)	A	Interest	K	T	Buy	07/14/11	K		
259. Standish Schwab-Michigan St BLDG Auth(X)	A	Interest	K	T	Buy	07/12/11	K		
260. Standish Schwab-Michiagn St HSG Auth Rent(X)	A	Interest			Sold	06/30/11	K		
261. Standish Schwab-New York NY City Indl(X)	B	Interest	K	T	Buy	07/18/11	K		
262. Standish Schwab- New York NY City Mun WTR(X)	A	Interest			Sold	06/30/11	K	B	
263. Standish Schwab-New York NY City TR Cultural(X)		None	K	T	Buy	07/13/11	K		
264. Standish Schwab-New York St Dorm Auth Revs 4.9%(X)	B	Interest			Sold	06/30/11	K		
265. Standish Schwab-New York St Dorm Auth Revs5%(X)	A	Interest	K	T	Buy	06/17/11	K		
266. Standish Schwab-New York St Dorm Auth Revs 5.2%(X)	B	Interest			Sold	06/30/11	L	A	
267. Standish Schwab-New York Dorm Auth Revs Non 4.75%(X)	A	Interest			Sold	06/30/11	K	B	
268. Standish Schwab-New York St Energy Resh&Dev(X)	A	Interest			Sold	06/30/11	K	A	
269. Standish Schwab-New York St MTG AGY Rev(X)	A	Interest			Sold	07/22/11	K		
270. Standish Schwab- North Dakota St HSG(X)	B	Interest			Sold	07/20/11	K	A	
271. Standish Schwab-Palm Beach Cnty FLA Health(X)	B	Interest	K	T	Buy	07/21/11	K		
272. Standish Schwab- Port Auth NY & NJ(X)	B	Interest			Sold	06/30/11	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
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	

FINANCIAL DISCLOSURE REPORT

Page 21 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
273. [REDACTED] Standish Schwab-Teton CNTY Hosp(X)	A	Interest	K	T	Buy	07/01/11	K		
274. [REDACTED] Standish Schwab- University ILL (X)	A	Interest	K	T	Buy	06/24/11	K		
275. [REDACTED] Standish Schwab-Washington St HSG Fin(X)	A	Interest			Sold	06/30/11	K		
276. [REDACTED] Schwab-Baron Asset(X)	D	Dividend	L	T	Buy	04/08/11	L		
277. [REDACTED] Schwab- Calamos Inv tr New MKT Neutral(X)		None			Sold	06/07/11	K	B	
278. [REDACTED] Schwab-Janus Balanced Fund(X)	A	Dividend			Sold	06/07/11	L	D	
279. [REDACTED] Schwab-Oakmark Equity & Income FD(X)	A	Dividend			Sold	06/07/11	L	D	
280. [REDACTED] Schwab-First Eagle Global Fund(X)		None			Sold	06/07/11	K	C	
281. [REDACTED] Schwab-Lousiana FIN AGY MTG (X)	A	Interest			Sold	06/17/11	K	A	
282. [REDACTED] Schwab- Mich ST HSG(X)	A	Interest			Sold	06/17/11	K	A	
283. [REDACTED] Schwab-New York NY City MUN WTR FIN(X)	A	Interest			Sold	06/17/11	K	A	
284. [REDACTED] Schwab- New York ST Dorm Auth 4.9%(X)	A	Interest			Sold	06/17/11	K	A	
285. [REDACTED] Schwab- New York ST Dorm Auth 5%(X)	A	Interest	K	T	Sold (part)	06/17/11	K	A	
286. [REDACTED] Schwab- New York ST Dorm Auth 5.2%(X)	B	Interest			Sold	06/17/11	K	A	
287. [REDACTED] Schwab- New York ST Dorm Auth 4.75%(X)	A	Interest			Sold	06/17/11	K	A	
288. [REDACTED] Schwab- New York Energy 5.3%(X)	A	Interest			Sold	06/17/11	K	A	
289. [REDACTED] Schwab- New York St MTG AGY 4.8%(X)	A	Interest			Sold	06/17/11	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	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	

FINANCIAL DISCLOSURE REPORT

Page 22 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
290. [REDACTED] Schwab- North Dakota ST HSG(X)	B	Interest			Sold	06/17/11	K	A	
291. [REDACTED] Schwab-Port Auth NY&NJ(X)	B	Interest			Sold	06/17/11	K	A	
292. [REDACTED] Schwab-Washington ST HSG FIN(X)	A	Interest			Sold	06/17/11	K	A	
293. [REDACTED] Corby Schwab- Alps ETF TR Alerian MLP(X)	A	Dividend	J	T	Buy	06/07/11	J		
294. [REDACTED] Corby Schwab- Annaly Capital Mgmt Inc(X)	A	Dividend			Buy	06/17/11	J		
295. [REDACTED] Corby Schwab- Annaly Capital Mgmt Inc(X)		None			Sold	09/23/11	J		
296. [REDACTED] Corby Schwab-Astellas Pharma Inc(X)	A	Dividend	J	T	Buy	06/16/11	J		
297. [REDACTED] Corby Schwab-Baytex Energy Trust(X)	A	Dividend	J	T	Buy	06/07/11	J		
298. [REDACTED] Corby Schwab-Canadian Oil Sands(X)	A	Dividend	J	T	Buy	06/07/11	J		
299. [REDACTED] Corby Schwab-Capstone Infrastructure Corp(X)	A	Dividend	J	T	Buy	06/08/11	J		
300. [REDACTED] Corby Schwab-Cellcom Israel LTD(X)	A	Dividend			Buy	06/07/11	J		
301. [REDACTED] Corby Schwab-Cellcom Israel LTD(X)		None			Sold	12/01/11	J		
302. [REDACTED] Corby Schwab-Doubleline Total return Bond(X)	A	Dividend	J	T	Buy	06/07/11	J		
303. [REDACTED] Corby Schwab-Duet Group Stapled Secure(X)		None	J	T	Buy	09/21/11	J		
304. [REDACTED] Corby Schwab-DWS Portfolio TR FLT RT Plus S(X)	A	Dividend			Buy	06/07/11	J		
305. [REDACTED] Corby Schwab-DWS Portfolio TR FLT RT Plus S(X)		None			Sold	08/11/11	J		
306. [REDACTED] Corby Schwab-Eaton Vance Floating Rate(X)		None			Buy	06/07/11	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 23 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
307. ☐ Corby Schwab-Eaton Vance Floating Rate(X)		None			Sold	08/11/11	J		
308. ☐ Corby Schwab-Enerplus RES FD TR(X)	A	Dividend			Buy	07/21/11	J		
309. ☐ Corby Schwab-Enerplus RES FD TR(X)		None			Sold	12/27/11	J		
310. ☐ Corby Schwab-Enerverst Diversified Income(X)	A	Dividend	J	T	Buy	06/07/11	J		
311. ☐ Corby Schwab-Enerverst Diversified Income(X)		None	J	T	Sold (part)	09/12/11	J		
312. ☐ Corby Schwab-First Eagle FDS Inc Gold(X)	A	Dividend	J	T	Buy	10/03/11	J		
313. ☐ Corby Schwab-First Trust Aberdeen GLBL(X)	A	Dividend	J	T	Buy	08/29/11	J		
314. ☐ Corby Schwab-Gamco Global Gold Natrual Resource(X)	A	Dividend	J	T	Buy	06/07/11	J		
315. ☐ Corby Schwab-H&Q Healthcare Investors(X)	A	Dividend	J	T	Buy	06/20/11	J		
316. ☐ Corby Schwab-Hugoton Royalty Trust Units(X)	A	Dividend	J	T	Buy	06/20/11	J		
317. ☐ Corby Schwab-Israel Chemicals LTD SHS(X)	A	Dividend	J	T	Buy	06/16/11	J		
318. ☐ Corby Schwab-Marine Harvest(X)		None			Buy	06/17/11	J		
319. ☐ Corby Schwab-Marine Harvest(X)		None			Sold	10/07/11	J		
320. ☐ Corby Schwab-Morgan Stanley Emerg MKTS(X)	A	Dividend	J	T	Buy	08/08/11	J		
321. ☐ Corby Schwab-Pargesea HLDG (X)		None			Buy	07/15/11	J		
322. ☐ Corby Schwab-Pargesa HLDG(X)		None			Sold	08/11/11	J		
323. ☐ Corby Schwab-Pembina Pipeline Corp(X)	A	Dividend	J	T	Buy	08/29/11	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)

324. [REDACTED] Corby Schwab-Peyto Exploration&Development(X)	A	Dividend	J	T	Buy	10/20/11	J		
325. [REDACTED] Corby Schwab-Rayonier Inc(X)	A	Dividend	J	T	Buy	08/08/11	J		
326. [REDACTED] Corby Schwab-Rayonier Inc(X)		None	J	T	Sold (part)	09/02/11	J	A	
327. [REDACTED] Corby Schwab-Redwood Trust(X)	A	Dividend			Buy	06/07/11	J		
328. [REDACTED] Corby Schwab-Redwood Trust(X)		None			Sold (part)	12/09/11	J		
329. [REDACTED] Corby Schwab-Redwood Trust(X)		None			Sold	12/12/11	J		
330. [REDACTED] Corby Schwab-San Juan Royalty Trust(X)	A	Dividend	J	T	Buy	06/20/11	J		
331. [REDACTED] Corby Schwab-Southern Copper Corp(X)	A	Dividend	J	T	Buy	08/10/11	J		
332. [REDACTED] Corby Schwab-Sydney Airport(X)	B	Dividend	J	T	Buy	06/16/11	J		
333. [REDACTED] IRA Contributoy Schwab- American Beacon LC Value(X)		None			Sold	05/20/11	J	A	
334. [REDACTED] IRA Contributry Schwab- American Century Value Inv(X)		None			Sold	05/20/11	J	A	
335. [REDACTED] IRA Contributry Schwab- American Century MUT FDS (X)		None			Sold	05/20/11	J	A	
336. [REDACTED] IRA Contributory Schwab- Columbia Acorn USA(X)		None			Sold	05/20/11	J	A	
337. [REDACTED] IRA Contributory Schwab- Davis New York Venture(X)		None			Sold	05/20/11	J	A	
338. [REDACTED] IRA Contributry Schwab- Driehaus Mut Funds Active (X)	A	Dividend	J	T	Buy	05/19/11	J		
339. [REDACTED] IRA Contributory Schwab- Eaton Vance Large Cap(X)		None			Sold	05/20/11	J	A	
340. [REDACTED] IRA Contributry Schwab- Excelsior Large Cap Growth(X)		None			Sold	05/20/11	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
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	

FINANCIAL DISCLOSURE REPORT

Page 25 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
341. [REDACTED] IRA Contributory Schwab- First Ameri Invst FDS (X)		None			Sold	05/20/11	J	A	
342. [REDACTED] IRA Contributory Schwab- FMI FDS Inc Large Cap(X)		None			Buy	05/19/11	J		
343. [REDACTED] IRA Contributory Schwab- FMI FDS Inc Large Cap(X)		None			Sold	09/28/11	J		
344. [REDACTED] IRA Contributory Schwab- Harbor FD INTL(X)		None			Sold	05/20/11	J	A	
345. [REDACTED] IRA Contributory Schwab- Henderson Global FDS INTL(X)		None			Sold	05/20/11	J	A	
346. [REDACTED] IRA Contributory Schwab- IShares TR Lehman AGG Bnd(X)	A	Dividend	J	T	Buy	09/27/11	J		
347. [REDACTED] IRA Contributory Schwab- John Hancock FDS(X)		None			Sold	05/20/11	J	A	
348. [REDACTED] IRA Contributory Schwab- Julius Baer INTL(X)		None			Sold	05/20/11	J	B	
349. [REDACTED] IRA Contributry Schwab- Loomis Sayles Small Cap FD(X)		None			Sold	05/20/11	J	A	
350. [REDACTED] IRA Contribry Schwab- Manning & Napier World Opp. (X)		None			Sold	05/20/11	J		
351. [REDACTED] IRA Contributory Schwab- Matthews Asia Dividend FD(X)	A	Dividend	J	T	Buy	05/19/11	J		
352. [REDACTED] IRA Contributory Schwab- Northern FDS SM Cap Value(X)		None			Sold	05/20/11	J	A	
353. [REDACTED] IRA Contributory Schwab- Oakmark INTL Small Cap(X)		None			Sold	05/20/11	J	A	
354. [REDACTED] IRA Contributory Schwab- RS Emerging Markets Fund(X)		None			Sold	5/20/11	J	A	
355. [REDACTED] IRA Contrbry Schwab- Schwab Cap TR S&P 500 Invs Sel(X)	A	Dividend	K	T	Buy	09/27/11	K		
356. [REDACTED] IRA Contribry Schwab- T Rowe Price Cap Apprn(X)		None			Sold	09/28/11	J		
357. [REDACTED] IRA Contribry Schwab- Thornburg Inves Inc Build(X)	A	Dividend			Sold	09/28/11	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	

FINANCIAL DISCLOSURE REPORT

Page 26 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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)
358. [REDACTED] IRA Contributory Schwab-Thornburg Invt TR Value FD(X)	A	Dividend			Sold	05/20/11	J		
359. [REDACTED] IRA Contribry Schwab- Wasatch 1st Source Long/Short(X)	A	Dividend			Buy	05/19/11	J		
360. [REDACTED] IRA Contribry Schwab- Wasatch 1st Source Long/Short(X)		None			Sold	09/28/11	J		
361. [REDACTED] IRA Contributory Schwab-Westcore Select Fund(X)		None			Buy	05/19/11	J		
362. [REDACTED] IRA Contributory Schwab-Westcore Select Fund(X)		None			Sold	09/28/11	J		
363. [REDACTED] IRA Contributory Schwab2- Fidelity Fifty(X)	A	Dividend	J	T	Sold (part)	09/28/11	J	B	
364. [REDACTED] IRA Contribry Schwab2- IShares TR Lehman AGG BND(X)	A	Dividend	J	T	Buy	09/27/11	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 27 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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

This year's report provides information regarding a number of new investments listed in Part VII. These disclosures reflect (i) sales and purchases recommended by an independent financial advisor and two newly engaged asset managers, (ii) the investment of certain proceeds realized from the sale in 2011 of residential real estate and (iii) the inclusion of additional financial assets held by [REDACTED] as a consequence of [REDACTED] that occurred during calendar year 2011. Please also note for purposes of Part VII that investments in the Schulte Roth & Zabel LLP Group Trust (line 4) are managed by an advisory committee. In 2011, the SRZ Group Trust invested in thirty-three separate and independently managed hedge funds selected in the sole discretion of this committee. These thirty-three funds are managed by twenty-seven individual fund managers. With the exception of individuals who serve on the advisory committee, current and former partners of the firm do not know the identity of any of these hedge funds and have no control over the selection of an individual fund or the decision to transfer investments from one fund to another. The fund selections are changed from time to time based on performance. I have no knowledge regarding the names of any of these hedge funds, 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 and 12/31/10.

The following statements are responsive to requests for clarification made in a letter from the Committee on Financial Disclosure dated September 11, 2012: The reference to "Chase Money Market Acct-[REDACTED]" on page 5, line 3 has been amended to include a parenthetical "(X)" to show that this asset was added to this year's report as a result of [REDACTED] mentioned above. The reference on page 19, line 252, to "SRZ Retirement Savings - Oakmark Equity" did appear in the disclosure report for 2010 (the "2010 Report") with slightly different wording, and the reference relates back to page 5, line 5 of that report. Part VII, page 6, line 19 of the 2010 Report references "Citifunds NY State Tax Free Fund," but that item is no longer an asset as a result [REDACTED]. As a result of reviewing the listing at page 6, line 28 of the 2010 Report that refers to "Hancock Policy - Tremont Oppty Fund III," I have found that the Tremont Oppty Fund III ("Tremont Fund") was not an investment under the Hancock Policy but was held under the NY Life Policy identified at line page 6, line 29. As indicated on page 5, line 2 of the 2010 Report, the New York Life Policy was surrendered on February 17, 2010. Consequently, Tremont Fund is not a reportable asset and was not included as an investment for calendar year 2011. However, Tremont Fund does have pending claims in the liquidation of Bernard L. Madoff Investment Securities LLC ("Madoff"). These claims relate to a reduction in the net asset value of Tremont Fund due to its investments with Madoff, and future distributions attributable to this former investment are possible. The 2010 Report also listed "2d Brokerage Acct - JPMorgan Market Neutral Fund" on page 7, line 46. I have determined that another transaction occurred during the reporting period of the 2010 Report that should have been listed in that earlier report; JPMorgan Market Neutral Fund was sold on 07/14/1 and so is not a reportable item for this year.

FINANCIAL DISCLOSURE REPORT

Page 28 of 28

Name of Person Reporting

Peck,, James M.

Date of Report

09/14/2012

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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544