

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) BERNSTEIN, STUART M.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 07/23/2012
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 United States Bankruptcy Court One Bowling Green New York, New York 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.	Director	Alumni Association
2.	Trustee	Trust # 1
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

BERNSTEIN, STUART M.

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07/23/2012

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. 2011	St. John's Law School Teaching	\$11,667.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	-- Law firm compensation
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.				
2. American Bankruptcy Institute	9/15-16/2011	Georgetown Law School, Washington, D.C.	Participation in seminar: "Views From the Bench"	Transportation, lunch, hotel (overnight)
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

BERNSTEIN, STUART M.

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07/23/2012

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.			
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5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

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07/23/2012

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)
1. 401K Plan	A	Dividend	N	T					
2. Partners Defined Contrib. Plan	A	Dividend	M	T					
3. JP Morgan Chase Bank Accounts	A	Interest	M	T					
4. Citibank Accounts	B	Interest	N	T					
5. Citibank Account	A	Interest	L	T					
6. Citibank Account	A	Interest	K	T					
7. Keogh (Target) Plan--Plan I	D	Int./Div.	N	T					
8. Common-The Phoenix Companies		None	J	T					
9. Phoenix Life Insurance (Whole Life)	B	Interest	K	T					
10. Defined Benefit Trust--Qualified Plan II		None							
11. Non-Deductible Contribution Plan III (Capital "C" Account)		None	N	T					
12. Capital "A" Account	E	Interest	O	T					
13. Schwab Money Market Funds	A	Int./Div.	P1	T					
14. Bond Fund of America	D	Dividend	N	T					
15. PIMCO Foreign Bond (Hedged)-D	E	Dividend	N	T					
16. iShares National Muni Bond	C	Int./Div.	O	T	Buy	07/27/11	N		
17. Metropolitan West Total Return Bond Fund	A	Dividend	N	T	Buy	12/22/11	N		

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 5 of 14

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18. Pimco High Yield, Class D	E	Dividend	M	T	Buy	01/13/11	N		
19.					Buy (add'l)	10/13/11	N		
20.					Sold (part)	08/09/11	M		
21.					Sold (part)	08/18/11	M		
22.					Sold (part)	11/23/11	M		
23. DWS Intermediate Tax/AMT Free Fund Class S	A	Dividend	N	T	Buy	12/09/11	N		
24. BlackRock High Yield Bond	E	Dividend			Sold (part)	08/19/11	M	E	
25.					Sold	09/23/11	M	C	
26.					Buy (add'l)	12/12/11	N		
27. Income Fund of America F	D	Dividend			Sold (part)	08/09/11	M		
28.					Sold	08/18/11	M		
29. Rydex S&P 500 Pure Growth	A	Dividend			Sold (part)	06/10/11	M	E	
30.					Sold	06/15/11	M	D	
31. ProFunds Rising Rates Opp'y Fund		None			Buy	02/11/11	M		
32.					Buy (add'l)	07/20/11	M		
33.					Sold (part)	03/16/11	M		
34.					Sold (part)	08/03/11	L		

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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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35.					Sold	08/10/11	M		
36. Franklin Income Fund A	D	Dividend			Buy	01/26/11	N		
37.					Sold (part)	08/08/11	M		
38.					Sold	08/10/11	M		
39. FPA Crescent	C	Dividend			Buy	03/31/11	N		
40.					Buy (add'l)	04/29/11	M		
41.					Sold (part)	08/08/11	M		
42.					Sold	08/19/11	M		
43. Hartford Floating Rate A	D	Dividend			Buy	02/04/11	N		
44.					Sold (part)	08/10/11	M		
45.					Sold	08/22/11	M		
46. Access Flex Bear HY Inv		None			Buy	09/08/11	N		
47.					Sold	10/27/11	N		
48. Pro Shares Short 20+ Year Treasury		None			Buy	10/21/11	M		
49.					Sold	11/23/11	M		
50. American High Income (IRA)	B	Dividend	K	T	Buy (add'l)	04/08/11	K		
51.					Buy (add'l)	10/28/11	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 7 of 14

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52.					Sold (part)	08/08/11	K		
53. Bond Fund of America (IRA)	B	Dividend	L	T					
54. Schwab Money Market Funds (IRA)	A	Int./Div.	M	T					
55. Dodge & Cox Income Fund (IRA)	C	Dividend	K	T	Sold (part)	10/10/11	K	C	
56. Metropolitan West Total Return Bond Fund (IRA)	C	Dividend	L	T					
57. PIMCO Total Return-D (IRA)	B	Dividend	L	T					
58. PIMCO Foreign Bond (Hedged)-D (IRA)	B	Dividend	L	T					
59. Loomis Sayles Strategic Income Fund (IRA)	B	Dividend			Sold (part)	08/24/11	K	D	
60.					Sold	09/22/11	K		
61. American Funds Capital Income Builder (IRA)		None			Buy	01/12/11	K		
62.					Sold (part)	08/08/11	K		
63.					Sold	01/18/11	K		
64. iShares Russell 1000 Growth (IRA)	A	Dividend			Sold (part)	03/16/11	K	B	
65.					Sold	06/14/11	K	B	
66. Rydex Inverse Gov't Long Bond (IRA)		None			Buy	07/20/11	K		
67.					Sold (part)	03/16/11	K		
68.					Sold (part)	05/04/11	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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69.					Sold (part)	08/03/11	J		
70.					Sold	08/10/11	J		
71. Franklin Income A Fund (IRA)	A	Dividend			Buy	07/25/11	K		
72.					Sold	08/24/11	K		
73. Rydex High Yield Strategy H (IRA)		None			Buy	09/07/11	K		
74.					Sold	10/26/11	K		
75. ProFunds Rising Rates Opp'y Fund (IRA)		None			Buy	10/12/11	K		
76.					Sold (part)	11/01/11	J		
77.					Sold	11/23/11	J		
78. Trust # 1	A	Interest	K	T					
79. - JP MorganChase Bank Account									
80. -John Hancock Life Insurance Policy									
81. Note - Debra Richman loan		None			Redeemed (part)	05/20/11	J		Debra Richman
82.					Redeemed (part)	09/05/11	J		
83.					Redeemed	11/24/11	J		
84.									
85.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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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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Page 11 of 14

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	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 12 of 14

Name of Person Reporting

BERNSTEIN, STUART M.

Date of Report

07/23/2012

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.									
138.									
139.									
140.									

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 14

Name of Person Reporting

BERNSTEIN, STUART M.

Date of Report

07/23/2012

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

All information and explanations relate to Part VII:

GENERAL COMMENTS

1. Where the asset was purchased, sold or held in an IRA, "IRA" is noted parenthetically in the "Description of Assets."
2. Where multiple purchases or sales of an asset were made during the year, the aggregate amount of income, if any, and value (if still held at the end of the reporting period) are reported on the first line on which the asset is listed.

SPECIFIC COMMENTS

Lines 1 and 2: These are pension plans. Contributions were made during 2011 to the 401 K (line 1) but not to the Partners Defined Contribution Plan (line 2).

Line 7: The participant in this Keogh account makes annual contributions, but there is no specific account in the participant's name. The value and income reflected on Part VII represent the participant's allocable share of the value and income of the Keogh account. There are also sale transactions in the Keogh account that generate gains and/or losses. These gains and/or losses are reflected in the value of the participant's allocable portion.

Line 10: This entry relates to a Defined Benefit Trust-Qualified Plan II. Upon vesting, there will be a right to an annuity, but the value of that annuity is not presently calculable. The participant did not make a contribution during 2011, but a contribution on the participant's behalf was made by the participant's firm.

Line 11: The participant did not make a contribution to the participant's Capital "C" account in 2011, but the participant's firm made a contribution on the participant's behalf.

Line 12: No contributions were made to the Capital "A" account in 2011.

Line 81-83: Debra Richman repaid the balance of a personal loan first reported last year. There will be nothing further to report in future years.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

BERNSTEIN, STUART M.

Date of Report

07/23/2012

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/ STUART M. BERNSTEIN**

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
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