

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Scheindlin, Shira A.                                                                                                                 | <b>2. Court or Organization</b><br><br>S.D.N.Y.                                                                                                                                                                                                                                          | <b>3. Date of Report</b><br><br>07/01/2013                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge/senior                                                    | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>USDC-SDNY<br>500 Pearl Street<br>New York, N.Y. 10007                                                                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|             |                         |
|-------------|-------------------------|
| 1. Director | Justice Resource Center |
| 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. |  |

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>             | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|------------------------------------|----------------------------------------|
| 1. 2012     | West Services, Inc. Book Royalties | \$4,839.00                             |
| 2. 2012     | Yeshiva University                 | \$6,800.00                             |
| 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. 1-12/2012 | State University of New York |
| 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. National Center for State Courts   | 1/30/12-1/31/12 | Wilmington, DE   | Speaker        | Travel, Food, Lodging         |
| 2. American Law Institute             | 1/31/12-2/1/12  | Philadelphia, PA | Speaker        | Travel, Food, Lodging         |
| 3. Securities and Exchange Commission | 2/22/12-2/23/12 | Washington, DC   | Speaker        | Travel, Food, Lodging         |
| 4. American Bankruptcy Institute      | 4/19/12-4/20/12 | Washington, DC   | Speaker        | Travel, Food, Lodging         |
| 5. IE Discovery Conference            | 5/9/12-5/10/12  | Washington, DC   | Speaker        | Travel, Food, Lodging         |
| 6. Sedona Conference                  | 9/12/12-9/14/12 | Atlanta, GA      | Speaker        | Travel, Food, Lodging         |

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|--------------------------|----------------|
| Scheindlin, Shira A.     | 07/01/2013     |

|     |                                                       |                   |                 |                |                       |
|-----|-------------------------------------------------------|-------------------|-----------------|----------------|-----------------------|
| 7.  | CCCT-ACCA 2012 Forum                                  | 10/24/12-10/28/12 | Montreal CANADA | Speaker        | Travel, Food, Lodging |
| 8.  | American Health Information Management Ass'n          | 11/08/2012        | Chicago, ILL.   | Speaker        | Travel, Food          |
| 9.  | Cornell Law School                                    | 11/8/12-11/10/12  | Ithaca NY       | Attend Meeting | Travel, Food, Lodging |
| 10. | Georgetown Law School: Advanced E-Discovery Institute | 12/05/12-12/07/12 | Washington DC   | Speaker        | Travel, Food, Lodging |
| 11. | Evidox Corporation                                    | 12/12/12-12/13/12 | Boston, MA      | Speaker        | Travel, Food, Lodging |

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                       |   |           |    |   |      |          |   |   |  |
|-------------------------------------------------------|---|-----------|----|---|------|----------|---|---|--|
| 1. Rental Property #1, Brooklyn, Kings County, NY     | F | Rent      | P1 | W |      |          |   |   |  |
| 2. IRA #1                                             |   |           |    |   |      |          |   |   |  |
| 3. IRA Sentinal Cap Growth Fund Class A               | A | Int./Div. |    |   | Sold | 07/31/12 | K |   |  |
| 4. IRA Sentinel MidCap Growth Class A                 | A | Int./Div. |    |   | Sold | 07/31/12 | K | D |  |
| 5. IRA Sentinel Intl Equity Class A                   | A | Int./Div. | K  | T |      |          |   |   |  |
| 6. IRA Sentinel Small Company A                       | A | Int./Div. | K  | T |      |          |   |   |  |
| 7. IRA Sentinel Common Stock Class A                  | A | Int./Div. | L  | T |      |          |   |   |  |
| 8. IRA Sentinel Gov't. Securities Class A             | A | Int./Div. |    |   | Sold | 07/31/12 | K | D |  |
| 9. IRA Sentinel Conservation Strategies Fund. Class A | A | Int./Div. |    |   | Sold | 07/31/12 | K | D |  |
| 10. Alger Spectra Fund                                | A | Dividend  | K  | T | Buy  | 07/31/12 | K |   |  |
| 11. JP Morgan Mid Cap Value Fund                      | A | Dividend  | K  | T | Buy  | 07/31/12 | K |   |  |
| 12. JohnHancock STR Inc                               | A | Dividend  | K  | T | Buy  | 07/31/12 | K |   |  |
| 13. PIMCO Real Return CI A                            | A | Dividend  | K  | T | Buy  | 07/31/12 | K |   |  |
| 14. Sunamerica focussws dividend                      | A | Dividend  | K  | T | Buy  | 07/31/12 | K |   |  |
| 15. Teachers Insurance Annuity Association            | G | Interest  | P1 | T |      |          |   |   |  |
| 16. College Retirement Equities Fund                  |   | None      | P1 | T |      |          |   |   |  |
| 17. Supplemental and Group Retirement Annuities       | D | Interest  | O  | T |      |          |   |   |  |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                       |   |           |   |   |             |          |   |   |  |
|-------------------------------------------------------|---|-----------|---|---|-------------|----------|---|---|--|
| 18. AXA Financial                                     | A | Int./Div. | J | T |             |          |   |   |  |
| 19. Vanguard Int'l Growth Fund*                       | A | Dividend  | J | T |             |          |   |   |  |
| 20. Pfizer                                            | C | Dividend  | L | T |             |          |   |   |  |
| 21. Brooklyn Federal S&L/Investors Bank(Name change)  | A | Interest  | J | T |             |          |   |   |  |
| 22. Brooklyn Federal S&L/Investors Bank (Name change) | A | Interest  | J | T |             |          |   |   |  |
| 23. Chase Manhattan Bank                              | A | Interest  | J | T |             |          |   |   |  |
| 24. Chase Manhattan Bank                              | A | Interest  | J | T |             |          |   |   |  |
| 25. Chase Manhattan Bank                              | A | Interest  | K | T |             |          |   |   |  |
| 26. Chase Manhattan Bank                              | A | Interest  | K | T |             |          |   |   |  |
| 27. Chase Manhattan Bank                              | A | Interest  | L | T |             |          |   |   |  |
| 28. Chase Manhattan Bank                              | A | Interest  | L | T |             |          |   |   |  |
| 29. NYS Local Gov't Assist. Corp. Series C            | A | Interest  |   |   | Sold        | 04/01/12 | J | A |  |
| 30. Fidelity Advantage Small Cap.                     | A | Dividend  | K | T |             |          |   |   |  |
| 31. Fidelity Advantage Mid Cap                        | A | Dividend  | K | T |             |          |   |   |  |
| 32. Brokerage Account #1                              |   |           |   |   |             |          |   |   |  |
| 33. Excelsior Directional Hedge Fund of Funds         | A | Int./Div. | M | T |             |          |   |   |  |
| 34. Excelsior Directional Hedge Fund of Funds         | A | Int./Div. |   |   | Buy (add'l) | 12/27/12 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. ASTON Montag & Caldwell Grth FD CL 1                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. ASTON Montag & Caldwell Grth FD CL 1                                                                                  | C                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. Columbia DIV. INC FD CLZ                                                                                              | B                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 02/08/12                | L                               |                                |                                                                   |
| 38. Columbia DIV INC FD CLZ                                                                                               | B                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 03/29/12                | K                               |                                |                                                                   |
| 39. Columbia FDS SSR TR Value and<br>Restructuring FD CL Z                                                                | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/08/12                | M                               | D                              |                                                                   |
| 40. Columbia FDS SER TR 1 Select LGE CAP<br>Grth FD CL Z                                                                  | B                                       | Distribution                                  | L                                               | T                                         | Sold<br>(part)                                  | 02/08/12                | K                               | D                              |                                                                   |
| 41. Columbia FDS SER TR 1 Select LGE CAP<br>Grth FD CL Z                                                                  | B                                       | Distribution                                  | L                                               | T                                         | Sold<br>(part)                                  | 03/29/12                | K                               | D                              |                                                                   |
| 42. BOFA NY Tax Exempt Res. Tr. CL.(inc.<br>inv.)                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. BOFA NY Tax Exempt* Reserves Trust<br>Class                                                                           | A                                       | Distribution                                  | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. Columbia Small Cap Grth FD                                                                                            | C                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. Columbia Short Term Muni, Bd Fund C1 Z                                                                                | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 02/07/12                | K                               | A                              |                                                                   |
| 46. Columbia NY Inter Muni Bd Fund C1 Z                                                                                   | D                                       | Int./Div.                                     | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. Janus Invest. FD Enterprize                                                                                           | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. Lazard Fd. Inc. Emerg. Mkts.                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. Lazard Fd. Inc. Emerg. Mkts.                                                                                          | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. Thornburg Int. Value Fd                                                                                               | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. Harbor Intl Fund                                                                                                      | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Hussman Inv. Strategic Growth fund                                                                                      | A                                       | Int./Div.                                     |                                                 |                                           | Buy<br>(add'l)                                  | 03/29/12                | K                               |                                |                                                                   |
| 53. Hussman Inv. Strategic Growth fund                                                                                      | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 11/19/12                | J                               |                                |                                                                   |
| 54. PIMCO Commodity Realreturn Strat. FD                                                                                    | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 02/08/12                | J                               |                                |                                                                   |
| 55. PIMCO Commodity Realreturn Strat. FD                                                                                    | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 06/12/12                | J                               |                                |                                                                   |
| 56. Vanuaird REET ETF                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. AQR Diversified Arbitrage fund                                                                                          | A                                       | Int./Div.                                     | K                                               | T                                         | Buy                                             | 02/08/12                | K                               |                                |                                                                   |
| 58. Columbia High Yield Municipal Fund                                                                                      | B                                       | Int./Div.                                     | K                                               | T                                         | Buy                                             | 02/08/12                | L                               |                                |                                                                   |
| 59. Columbia High Yield Municipal Fund                                                                                      | B                                       | Int./Div.                                     | K                                               | T                                         | Sold<br>(part)                                  | 3/29/12                 | K                               | A                              |                                                                   |
| 60. Scottrade Acct. #1                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. Barely Bk MSCI India                                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. MSCI Pacific                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. MSCI South Korea                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/05/12                | J                               | A                              |                                                                   |
| 64. MSCI Mexico                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. MSCI Hong Kong                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. FTSE Xinhua China                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/05/12                | J                               |                                |                                                                   |
| 67. SPDR Gold Trust                                                                                                         |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. Brandywine Blue FD                                                                                                      | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 09/28/12                | J                               | C                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

07/01/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                            |   |           |   |   |      |          |   |   |  |
|--------------------------------------------|---|-----------|---|---|------|----------|---|---|--|
| 69. Harbor Bond Fund                       | A | Int./Div. | K | T |      |          |   |   |  |
| 70. Long Leaf Partners Fund                | A | Dividend  | J | T |      |          |   |   |  |
| 71. Peritt Micro Cap FD                    |   | None      | K | T |      |          |   |   |  |
| 72. Scottrade Sweep US Bank NA             | A | Dividend  | J | T |      |          |   |   |  |
| 73. Oakmark Select Fund                    | A | Int./Div. | J | T |      |          |   |   |  |
| 74. Fairholme Fund                         | A | Int./Div. | J | T |      |          |   |   |  |
| 75. SPDR Series trust KBWregl. B           | A | Int./Div. | J | T |      |          |   |   |  |
| 76. SPDR Series Trust KBWbkETF             | A | Int./Div. |   |   | Sold | 10/05/12 | J | B |  |
| 77. PIMCO Emerging Local Bond fund         | A | Int./Div. | J | T |      |          |   |   |  |
| 78. M&I marshall ilsley Bank (sweep Acc't) | A | Int./Div. | J | T |      |          |   |   |  |
| 79. Brokerage Acct. #2                     |   |           |   |   |      |          |   |   |  |
| 80. Windstream                             | A | Dividend  | J | T |      |          |   |   |  |
| 81. Markwest                               | A | Int./Div. | J | T |      |          |   |   |  |
| 82. SPDR Index SHS FDS INT (IPF-ETF)       | A | Int./Div. | J | T |      |          |   |   |  |
| 83. MSCI Hong Kong (EWH-ETF)               | A | Int./Div. | J | T |      |          |   |   |  |
| 84. SPDR Index SHS FDS S&P China (GXC)     | A | Int./Div. | J | T |      |          |   |   |  |
| 85. Claymore Exchange Traded Fund (TAN)    | A | Int./Div. | J | T |      |          |   |   |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

07/01/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. FAIRX                                                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. US Bank NA (sweep acc't)                                                                                                | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. FNORX                                                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. FEMEX                                                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 90. FSEAX                                                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. BRF                                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 2/22/12                 | J                               |                                |                                                                   |
| 92. JP Morgan Chase/Acct #1                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 93. SPDR S & P 500 ETF                                                                                                      |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 94. SPDR S & P 500 ETF                                                                                                      |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 09/12/12                | J                               |                                |                                                                   |
| 95. American Century Interterm                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 96. American Century Interterm                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 09/12/12                | J                               |                                |                                                                   |
| 97. Black Rock FDS US                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 98. Cohen & Steers Realty                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 99. Delaware GRP Caps Emerging                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 100. DWS Institutional Funds                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 101. DWS Institutional Funds                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/12/12                | J                               |                                |                                                                   |
| 102. Goldman Sacks Emerging Market                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

07/01/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. AIN Tax Exempt FDS/Invesco Van Kampen                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 104. Oak Mark Fund                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 105. JP Morgan TR1/inter tax free                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 106. JP Morgan TR1/inter tax free                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/12/12                | J                               |                                |                                                                   |
| 107. JP Morgan TR1/US Equity FD                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 108. JP Morgan TR1/US Equity FD                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/12/12                | J                               |                                |                                                                   |
| 109. JP Morgan TR1/Midcap Equity                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 110. JP Morgan TR1/International Value Fund Select                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 111. JP Morgan TR1/Emerging Markets Equity FD                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 112. JP Morgan TR1/Emerging Markets Equity FD                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 09/12/12                | J                               | A                              |                                                                   |
| 113. JP Morgan TR II/US Real Estate FD                                                                                      |                                         | None                                          |                                                 |                                           | Buy                                             | 06/09/12                | J                               |                                |                                                                   |
| 114. JP Morgan TR II/US Real Estate FD                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 09/12/12                | J                               | A                              |                                                                   |
| 115. MFS Ser. Tr. X Emerging Market                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 116. MFS Municipal High Income                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 117. Rowe Price Tax Free Income                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 118. Thornburg International Value Fund                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |
| 119. Vanguard Sector Index Funds                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/29/12                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. Vanguard Sector Index Funds                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/14/12                | J                               |                                |                                                                   |
| 121. JP Morgan Chase/Acct #2                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 122. JPM STR Inc Op Fd                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 123. JPM High Yield FD                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 124. JPM High Yield FD                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 9/24/12                 | J                               | A                              |                                                                   |
| 125. JPM High Yield FD                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/1/12                 | J                               | A                              |                                                                   |
| 126. JPM Short Duration Bond Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 127. JPM Short Duration Bond Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 09/27/12                | J                               |                                |                                                                   |
| 128. JPM Short Duration Bond Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/25/12                | J                               | A                              |                                                                   |
| 129. JPM Short Duration Bond Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 11/15/12                | J                               |                                |                                                                   |
| 130. JPM TR MLT SC INC                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 131. Harbor High Yield Bond Fund                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 132. Harbor High Yield Bond Fund                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 10/18/12                | J                               | A                              |                                                                   |
| 133. Harbor Convertible Securities Fund                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 134. PIMCO Merging Market Corporate Bond Fund                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 135. SIT Mut. FDS Inc. Div. Growth                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 136. SIT Mut. FDS Inc. Div. Growth                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/27/12                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Ridgeworth FDS SEIX FLRT                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 138. Gateway FD                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 139. Gateway FD                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/27/12                | J                               | A                              |                                                                   |
| 140. Gateway FD                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 10/16/12                | J                               | A                              |                                                                   |
| 141. Matthews Asia Div. Inst.                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 142. Matthews Asia Div. Inst                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/16/12                | J                               |                                |                                                                   |
| 143. Eaton Vance Floating Rate ADV                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 144. Eaton Vance Floating Rate ADV                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 09/24/12                | J                               |                                |                                                                   |
| 145. Eaton Vance Floating Rate ADV                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 10/01/12                | J                               |                                |                                                                   |
| 146. Eaton Vance Mutual FDS TR Global<br>Macro*                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 147. Eaton Vance Mutual FDS TR Global Macro                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 07/09/12                | J                               | A                              |                                                                   |
| 148. Eaton Vance Mutual FDS TR Global Macro                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 09/10/12                | J                               | A                              |                                                                   |
| 149. Eaton Vance Mutual FDS TR Global Macro                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/25/12                | J                               | A                              |                                                                   |
| 150. Black Rock High Yield Bd                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 151. Black Rock High Yield Bd                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 10/18/12                | J                               |                                |                                                                   |
| 152. Cohen and Steere Pref Sec. and Income                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 153. Cohen and Steere Pref Sec. and Income                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/16/12                | J                               | A                              |                                                                   |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Cohen and Steere Pref Sec. and Income                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/17/12                | J                               | A                              |                                                                   |
| 155. Doubleline FDS TR Total Return                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 156. Doubleline FDS TR Total Return                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 07/25/12                | J                               |                                |                                                                   |
| 157. T Rowe Price Instl. Income Fs/D Floating<br>Rate Fd                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |
| 158. T Rowe Price Instl. Income Fs/D Floating<br>Rate Fd                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/25/12                | J                               |                                |                                                                   |
| 159. HSBC FDS Total Return 1                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/09/12                | J                               |                                |                                                                   |
| 160. HSBC FDS Total Return 1                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/10/12                | J                               |                                |                                                                   |
| 161. HSBC FDS Total Return 1                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/17/12                | J                               |                                |                                                                   |
| 162. HSBC FDS Total Return 1                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/25/12                | J                               |                                |                                                                   |
| 163. Managed Portfolio Ser Tortois Instl.                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/02/12                | J                               |                                |                                                                   |
| 164. Managed Portfolio Ser Tortois Instl.                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 10/16/12                | J                               |                                |                                                                   |
| 165. Managed Portfolio Ser Tortois Instl.                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 11/15/12                | J                               |                                |                                                                   |
| 166. JPM STR Inc Op Fd                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/12                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

Scheindlin, Shira A.

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

\* Line # 43--In line 37 of the 2011 report I inadvertently listed the year end value code for the BOFA NY Tax exempt reserve trust as J when it should have been L.

\*Line 146. The audit program required me to put a value for this item - Eaton Vance Mutual FDs TR Global Macro -- at the end of the reporting period. I kept trying to leave it blank because it was sold in full on July 25, 2012 as noted on line 149, but the program insisted on a value nonetheless.

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Name of Person Reporting

Scheindlin, Shira A.

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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/ Shira A. Scheindlin

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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Washington, D.C. 20544