

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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

1. Person Reporting (last name, first, middle initial) Hopkins, Jeffery P.	2. Court or Organization U.S. Bankruptcy Court (SD OH)	3. Date of Report 06/05/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Bankruptcy Court 221 E. Fourth St., Suite 800 Cincinnati, OH 45202-4133		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board	American Bankruptcy Institute
2.	Chair and Board	Queen City Foundation
3.	Manager	Willie Hall Estate Farm, LLC
4.	Board	OSU Moritz College of Law National Council
5.	Board	Cincinnati Museum Center
6.	Board	BRIDGES

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.	American Bankruptcy Institute	March 31 - April 3	National Harbor, MD	Annual Spring Meeting	Lodging, meals and transportation
2.	American Bankruptcy Institute	April 14 - 16	Boston, MA	Business Bankruptcy Committee Spring Meeting	Lodging, meals and transportation
3.	Justice at Stake Campaign	April 29 - 30	Washington, DC	Board Meeting	Lodging, meals and transportation
4.	Bloomberg LP	July 27 - 29	New York, NY	Editorial Board Meeting	Lodging, meals and transportation
5.	American Bankruptcy Institute	December 1 - 4	La Quinta, CA	Winter Leadership Conference	Lodging, meals and transportation

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. 2401 Grandview LLC	D	Dividend	O	U					
2. PNC Bank	A	Dividend	J	T					
3. Cinfed Federal Credit Union	A	Interest	J	T					
4. CSE Federal Credit Union	A	Interest	J	T					
5. TRAK Fund Solutions Retirement Account	A	Int./Div.	K	T					
6. --Vanguard Windsor II									
7. -- Vanguard PRIME Capt									
8. -- AIM Blue Chip FD CL B									
9. -- Cardinal Large Co. Stock									
10. -- American Gr FD of America F					Sold (part)	03/28/11	J		
11.					Sold (part)	05/02/11	J		
12.					Sold (part)	11/07/11	J		
13.					Sold (part)	12/06/11	J		
14. -- Davis New York Venture A					Sold (part)	03/28/11	J		
15.					Sold (part)	05/05/11	J		
16.					Sold (part)	11/07/11	J		
17.					Sold (part)	12/06/11	J		

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

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

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

18. -- Henderson Intl Opportunities A					Sold (part)	03/28/11	J		
19.					Sold (part)	05/02/11	J		
20.					Sold (part)	06/16/11	J		
21.					Sold (part)	11/18/11	J		
22.					Sold (part)	12/06/11	J		
23. -- JP Morgan Mid Cap Value A					Sold (part)	03/28/11	J		
24.					Sold (part)	05/02/11	J		
25.					Sold (part)	06/16/11	J		
26.					Sold (part)	11/07/11	J		
27.					Sold (part)	12/06/11	J		
28. -- Morgan Stanley Money Market Fund									
29. -- Phoenix Real Estate Sec. A									
30. -- Pimco Total Return A									
31. -- RS Partners A					Sold (part)	03/28/11	J		
32.					Sold (part)	05/05/11	J		
33. --Virtus Real Estate (X)					Sold (part)	04/28/11	J		
34. --Lazard Emerging Markets (X)					Sold (part)	03/28/11	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. Ohio 529	A	Dividend	J	T					
36. --Putnam Aggressive Growth (EQT)									
37. --Putnam Moderate Age-Based Portfolio (MDA)									
38. Willie Hall Estate Farm, LLC (Y)									

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

By way of amendment to my 2009 Financial Disclosure Report, on page 5 and 6, Part VII Investments and Trusts, Lines 17-24, I reported having an IRA. This asset should not have been reported and was inadvertently included in my 2009 Financial Disclosure Report. The asset listed in the Report on pages 5 and 6, lines 17-24 was liquidated on January 20, 2009. The income generated from the asset was less than \$15,000.

In addition, on page 6, Part VII Investments and Trusts (of the 2009 Report), the assets listed on Line 25 was also inadvertently reported. These assets were also sold on January 20, 2009 and generated income of less than \$15,000.00.

Finally, the assets listed in Part VII Investments and Trusts (of the 2009 Report), on pages 5 and 6, lines 14-18 were likewise inadvertently excluded. These assets were sold on January 20, 2009 and generated less than \$15,000.00 of income.

Part VII Investments and Trusts, Line 21 was originally reported on the 2010 Report with a Value Code of "O". The true Value Code should have been reported as "J". The asset was inadvertently excluded from the 2011 Report and has been placed on the 2011 Amended Report.

Self Initiated Amendment June 5, 2013

Assets previously under the header IRA #2 and other separate mutual funds were transferred and consolidated at Trak Fund Solutions in a retirement account. Reportable sales have now been added that occurred in 2011.

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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/ Jeffery P. Hopkins

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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