

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2014**

*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>SHIFF, ALAN H. W.                                                                                                 | <b>2. Court or Organization</b><br><br>CT BANKRUPTCY COURT                                                                                                                                                                                                                                   | <b>3. Date of Report</b><br><br>08/10/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>US BANKRUPTCY JUDGE                                     | <b>5a. Report Type</b> (check appropriate type)<br><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>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>915 LAFAYETTE BOULEVARD<br>BRIDGEPORT, CT 06604                                                                                            |                                                                                                                                                                                                                                                                                              |                                                                  |
| <b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br>checking the NONE box for each part where you have no reportable information. |                                                                                                                                                                                                                                                                                              |                                                                  |

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

**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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

**IV. REIMBURSEMENTS** *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

**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. | CAPITAL ONE BANK | UNSECURED CREDIT CARD | J                 |
| 2. |                  |                       |                   |
| 3. |                  |                       |                   |
| 4. |                  |                       |                   |
| 5. |                  |                       |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

## 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. WELLS FARGO                                                                                                              | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. IBM                                                                                                                      | D                                       | Dividend                                      | O                                               | T                                         | Buy<br>(add'l)                                  | 12/1/14                 | J                               |                                |                                                                   |
| 3. IBM                                                                                                                      | E                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. AT&T                                                                                                                     | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. INTEL                                                                                                                    | D                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 12/1/14                 | J                               |                                |                                                                   |
| 6. THE TORRAY FUND                                                                                                          | C                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. VANGUARD PRIM MONEY MKT FUND                                                                                             |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. VANGUARD 500 INDEX FUND ADM                                                                                              | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. VANGUARD INTERNATIONAL<br>GROWTH INV                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. VANGUARD EXTENDED MKT INDEX<br>ADM                                                                                      | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. GENERAL ELECTRIC                                                                                                        | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. BLACKROCK GLOBAL ALLOCATION<br>(IRA)                                                                                    | C                                       | Distribution                                  |                                                 |                                           | Sold                                            | 02/12/14                | L                               |                                |                                                                   |
| 13. ISHARES INTL TREASURY BOND ETF<br>(IRA)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/28/14                | J                               |                                |                                                                   |
| 14. VANGUARD S&P 500 INDEX ETF (IRA)                                                                                        | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 02/28/14                | K                               |                                |                                                                   |
| 15. VANGUARD INTERMEDIATE TERM<br>GOVERNMENT BOND ETF                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 2/28/14                 | J                               |                                |                                                                   |
| 16. VANGUARD FTSE ALL WORLD EX US                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 2/28/14                 | J                               |                                |                                                                   |
| 17. VANGUARD (IRA)                                                                                                          | E                                       | Distribution                                  | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

## 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. THE TORRAY FUND IRA                                               |   | None         | L | T |                |          |   |  |  |
| 19. FID EQ DIV INCM                                                   | B | Dividend     | L | T |                |          |   |  |  |
| 20. EATON VANCE TAX MANAGED<br>GLOBAL DIVERSIFIED EQUITY<br>INCOME FD | D | Dividend     | M | T |                |          |   |  |  |
| 21. EATON VANCE TAX MANAGED<br>DIVERSIFIED EQUITY INCOME FUND         | C | Dividend     | L | T |                |          |   |  |  |
| 22. EATON VANCE ENHANCED EQ INCM                                      | C | Dividend     | M | T | Sold<br>(part) | 02/28/14 | M |  |  |
| 23. EATON VANCE ENHANCED EQUITY<br>INCOME FUND II                     | B | Dividend     | M | T | Buy            | 02/28/14 | M |  |  |
| 24. EATON VANCE TAX MANAGED<br>DIVERSIFIED EQUITY INCOME FD           | C | Dividend     | M | T |                |          |   |  |  |
| 25. LINCOLN NATIONAL LIFE INS CO<br>(PENSION)                         | E | Distribution | N | T |                |          |   |  |  |
| 26. CBS                                                               | A | Dividend     | K | T |                |          |   |  |  |
| 27. VIACOM                                                            | A | Dividend     | K | T |                |          |   |  |  |
| 28. COMCAST                                                           | A | Dividend     | K | T |                |          |   |  |  |
| 29. CENTURY LINK                                                      | A | Dividend     | J | T |                |          |   |  |  |
| 30. T ROWE PRICE TAX FREE HIGH YIELD<br>FD                            | C | Dividend     | L | T |                |          |   |  |  |
| 31. THE OSTERWEIS STRATEGIC INCOME<br>FD                              | D | Dividend     | M | T |                |          |   |  |  |
| 32. TEMPLETON GLOBAL BOND ADVISOR<br>CLASS                            | C | Dividend     | K | T |                |          |   |  |  |
| 33. PRIME FUND CAPITAL RESERVES                                       | A | Interest     | K | T |                |          |   |  |  |

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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

## 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 I<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) |

|     |  |  |  |  |  |  |  |  |  |
|-----|--|--|--|--|--|--|--|--|--|
| 34. |  |  |  |  |  |  |  |  |  |
|-----|--|--|--|--|--|--|--|--|--|

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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**

Page 7 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

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

**FINANCIAL DISCLOSURE REPORT**

Page 8 of 8

Name of Person Reporting

SHIFF, ALAN H. W.

Date of Report

08/10/2015

**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/ ALAN H. W. SHIFF**

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

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544