

FINANCIAL DISCLOSURE REPORT FINAL FILING

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

1. Person Reporting (last name, first, middle initial) Peck,, James M.	2. Court or Organization USBC/SDNY	3. Date of Report 05/29/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 01/31/2014
7. Chambers or Office Address United States Bankruptcy Court One Bowling Green New York, NY 10004-1408		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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. At-large member of Board of Governors	National Conference of Bankruptcy Judges
2. Co-chair of Advisory Committee on the Bankruptcy Safe Harbors	American Bankruptcy Institute
3. Member of Judicial Steering Committee	INSOL International
4.	
5.	

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

☒ NONE (No reportable agreements.)

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

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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. 2/13-4/13	New York University Stern School of Business Administration	\$10,000.00
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Earle K. & Katherine F. Moore Foundation - Trustee Fee
2. 2013	Metropolitan Life Insurance Company - Pension Benefits
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American College of Bankruptcy	Feb 8-10	Amelia Island , Florida	Speaker at educational retreat of the 11th Circuit	transportation, lodging and food
2. ABI VALCON Conference	Feb 20-22	Las Vegas, NV	Speaker at conference on valuation in bankruptcy	transportation, lodging and food
3. National Conference of Bankruptcy Judges Midyear Meeting	April 8-9	Phoenix, AZ	Attending meeting of Board of Governors of NCBJ	transportation, lodging and food
4. INSOL International, UNCITRAL and The World Bank Judicial Colloquium	May 18-22	The Hague, the Netherlands	Speaker at Judicial Colloquium	transportation, lodging and food

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5.	Leiden University School of Law	May 22-23	Amsterdam, the Netherlands	Speaker at European conference on financial regulation	transportation, lodging and food
6.	Cesfin and the University of Florence Graduate School of Business Administration	May 25-29	Florence, Italy	Speaker at international conference on insolvency law	transportation, lodging and food
7.	ABI and Georgetown Law School Views from the Bench	Sept 26-27	Washington, D.C.	Speaker at Georgetown Law bankruptcy conference	transportation, lodging and food
8.	Global Restructuring Organization and Modena Chamber of Commerce	Oct 8-14	Modena, Italy	Speaker at international insolvency law conference	transportation, lodging and food
9.	Pennsylvania Bar Institute	Oct 17	Philadelphia, PA	Panelist at continuing legal education program	transportation, lodging and food
10.	Federal Reserve Bank of Richmond	Oct 18	Washington, D.C.	Panelist at Federal Reserve conference on resolution planning for SIFIs	transportation, lodging and food
11.	National Conference of Bankruptcy Judges	Oct 29- Nov 2	Atlanta, GA	Attending NCBJ Board Meeting and moderating panel at conference	transportation, lodging and food
12.	INSOL International Caribbean Judicial Colloquium	Nov 5 - 10	Grand Cayman	Discussion leader at regional judicial colloquium	transportation, lodging and food
13.	The World Bank	Nov 20-21	Washington, D.C.	Panelist at Law, Justice and Development Week	transportation, lodging and food
14.	Ministry of Justice of the State of Israel	Jan 18-21, 2014	Tel Aviv, Israel	Speaker at the Official Receiver'international conference on corporate insolvency law	transportation, lodging and food

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

1. John Hancock Universal Life Insurance - Money Market	A	Interest	M	T					
2. Citibank Money Market Acct	A	Interest	L	T					
3. Chase Money Market Acct - Spouse (X)	A	Interest	M	T					
4. Schulte Roth & Zabel Group Trust IRA		None	M	T					
5. Brokerage-iShares Tr Barclays Agg Bnd	B	Dividend	K	T	Sold (part)	04/15/13	K		
6. Brokerage-iShares Tr Barclays Agg Bnd	B	Dividend	K	T	Sold (part)	12/02/13	K		
7. Brokerage-BBH Core Select Fund	A	Dividend	J	T					
8. Brokerage-BBH Core Select Fund	A	Dividend	J	T	Sold (part)	11/15/13	K	D	
9. Brokerage-Driehaus Mutual Fund Active Income		None			Sold	02/13/13	J	A	
10. Brokerage-Eaton Vance Global Macro	A	Dividend	J	T					
11. Brokerage-Pimco All Asset/Authority Fund		None			Sold	02/01/13	J	A	
12. Brokerage-Schwab Cap TR S&P Invest Select Shares	B	Dividend	M	T	Sold (part)	09/23/13	K	C	
13. Brokerage- Vanguard Total INTL Stock	A	Dividend	K	T					
14. Brokerage- Wells Fargo FDS ADVIN	C	Dividend	M	T	Buy (add'l)	08/08/13	L		
15. Brokerage- Wells Fargo FDS ADVIN	C	Dividend	M	T	Buy (add'l)	09/23/13	J		
16. Brokerage- Wells Fargo FDS ADVIN	C	Dividend	M	T	Buy (add'l)	12/02/13	K		
17. Brokerage- Wells Fargo FDS ADVIN	C	Dividend	M	T	Buy (add'l)	01/08/14	J		

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

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18. Brokerage- Wells Fargo ADV	B	Dividend	L	T	Sold (part)	04/15/13	K	B	
19. Brokerage - Ivy Municipal High Income Fund	C	Dividend	L	T	Buy (add'l)	09/23/13	J		
20. Brokerage - Schwab US Treasury Money Fund		None	J	T					
21. IRA R/O Schwab- ALPS ETF Alerian MLP	A	Dividend			Sold	01/08/14	K	A	
22. IRA R/O Schwab-Driehaus Mutual Funds Active Income	A	Dividend	K	T					
23. IRA R/O Schwab-Fidelity Floating Rate	B	Dividend	J	T					
24. IRA R/O Schwab-Schwab Cap TR S&P 500 Select shares	C	Dividend	M	T					
25. IRA R/O Schwab- Jeffries Asset Mgmt Cmdty Strat		None			Sold	11/11/13	K		
26. IRA R/O Schwab- BBH FD Inc	B	Dividend	L	T	Buy (add'l)	04/15/13	K		
27. IRA R/O Schwab- BBH FD Inc	B	Dividend	L	T	Sold (part)	12/02/13	K	D	
28. IRA R/O Schwab -Fidelity Floating Rate High Income	B	Dividend	J	T					
29. IRA R/O Schwab -ISHARES TR Lehman AGG Bnd	C	Dividend	M	T	Buy (add'l)	01/08/14	J		
30. IRA R/O Schwab -PIMCO ALL ASSET/ AUTHORITY Fund	C	Dividend	L	T	Buy (add'l)	12/12/13	K		
31. IRA R/O Schwab -PIMCO ALL ASSET/ AUTHORITY I		None	L	T	Buy (add'l)	01/08/14	J		
32. IRA R/O Schwab - Polen Growth		None			Sold	04/15/13	L	D	
33. IRA R/O Schwab -Schwab Cap TR S&P 500 Invs Select	C	Dividend	K	T	Sold (part)	08/08/13	L	E	
34. IRA R/O Schwab -Schwab Cap TR S&P 500 Invs Select	C	Dividend	K	T	Sold (part)	08/29/13	K	E	

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35. IRA R/O Schwab -Schwab Cap TR S&P 500 Invs Select	C	Dividend	K	T	Sold (part)	01/08/14	M	E	
36. IRA R/O Schwab -Vanguard Total INTL	C	Dividend	L	T	Buy (add'l)	04/15/13	K		
37. IRA R/O Schwab -Vanguard Total INTL	C	Dividend	L	T	Buy (add'l)	12/02/13	K		
38. IRA R/O Schwab -Vanguard Total INTL	C	Dividend	L	T	Sold (part)	01/09/14	L	D	
39. IRA R/O Schwab Blackrock Fds II Strong Opp Instl	B	Dividend	L	T	Buy (add'l)	08/08/13	L		
40. IRA R/O Schwab Blackrock Fds II Strong Opp Instl	B	Dividend	L	T	Buy (add'l)	08/29/13	L		
41. IRA R/O Schwab Blackrock Fds II Strong Opp Instl	B	Dividend	L	T	Sold (part)	12/02/13	L	A	
42. IRA R/O Schwab Pimco Fds Uncstr Bd Instl	A	Dividend	L	T					
43. IRA R/O Schwab Wells Fargo S/T Hi-Yld Bond	B	Dividend	K	T					
44. IRA R/O Schwab Hamlin High Dividend Equity Instl	D	Dividend	M	T	Buy (add'l)	04/15/13	K		
45. IRA R/O Schwab Hamlin High Dividend Equity Instl	A	Dividend	M	T	Buy (add'l)	12/02/13	J		
46. IRA R/O Schwab Hamlin High Dividend Equity Instl	A	Dividend	M	T	Sold (part)	08/29/13	K		
47. IRA R/O Schwab Hamlin High Dividend Equity Instl	A	Dividend	M	T	Sold (part)	01/08/14	K	D	
48. IRA R/O Schwab Mgrs AMG Fds Yacktman Instl	C	Dividend	M	T	Buy (add'l)	04/15/13	K		
49. IRA R/O Schwab Mgrs AMG Fds Yacktman Instl	C	Dividend	M	T	Buy (add'l)	12/02/13	J		
50. IRA R/O Schwab Mgrs AMG Fds Yacktman Instl	C	Dividend	M	T	Sold (part)	08/29/13	K	D	
51. IRA R/O Schwab US Treasury Money Fund	A	Dividend	M	T					

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52. IRA R/O Schwab Goldman Sachs Tr Strg Incm Inst(X)	B	Dividend	L	T	Buy	08/08/13	M		
53. IRA R/O Schwab Goldman Sachs Tr Strg Incm Inst(X)	B	Dividend	L	T	Buy (add'l)	08/29/13	K		
54. IRA R/O Schwab Goldman Sachs Tr Strg Incm Inst(X)	B	Dividend	L	T	Sold (part)	12/02/13	L	A	
55. IRA R/O Schwab Ivy Municipal High Income Fund(X)	A	Dividend	M	T	Buy	01/08/14	M		
56. IRA R/O Schwab Mutual Discovery Fund CL Z(X)		None	K	T	Buy	01/08/14	K		
57. Standish Schwab-Citizens PPTY Ins Corp(X)	A	Interest			Sold	02/07/13	K	D	
58. Standish Schwab-Detroit Mich City Sch Dist(X)	A	Interest			Sold	02/04/13	K	C	
59. Standish Schwab-E 470 Pub HWY Auth	A	Interest			Sold	02/04/13	K	B	
60. Standish Schwab-Houston Tex Hotel Occupancy(X)	A	Interest			Sold	02/04/13	K	C	
61. Standish Schwab-Indiana St Fin Auth Rev 5% (X)	A	Interest			Sold	02/07/13	K	B	
62. Standish Schwab-Metropolitan Transn Auth	A	Interest			Sold	02/04/13	K	C	
63. Standish Schwab-Michigan St BLDG Auth	A	Interest			Sold	02/04/13	K	C	
64. Standish Schwab-New York NY City TR Cultural	A	Interest			Sold	02/04/13	K	C	
65. Standish Schwab-New York St Dorm Auth Revs5%	A	Interest			Sold	02/07/13	K		
66. Standish Schwab-Palm Beach Cnty FLA Health	A	Interest			Sold	02/07/13	K		
67. Standish Schwab-Teton CNTY Hosp	A	Interest			Sold	02/07/13	K	C	
68. Standish Schwab- University ILL Rev 5%	A	Interest			Sold	02/07/13	K	C	

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69. ☐ Standish Schwab US Treasury Money Fund	A	Interest	K	T					
70. ☐ Schwab-Baron Asset	D	Dividend	L	T					
71. ☐ Schwab-ALPS ETF Tr Alerian MLP	A	Dividend			Sold	02/13/13	J	A	
72. ☐ Schwab-iShares Tr Hgh Div Eqt Fd	A	Dividend			Sold	05/07/13	K	C	
73. ☐ Schwab-SPDR S&P Dividend ETF	A	Dividend			Sold	05/07/13	K	C	
74. ☐ Schwab-Vanguard Total Intl Stock Index	B	Dividend	L	T	Buy (add'l)	02/13/13	K		
75. ☐ Schwab-Vanguard Total Intl Stock Index	B	Dividend	L	T	Buy (add'l)	12/02/13	J		
76. ☐ Schwab-Vanguard Total Intl Stock Index	B	Dividend	L	T	Sold (part)	01/09/14	K	C	
77. ☐ Schwab-BBF Fd Inc Core SI Retail	A	Dividend	K	T					
78. ☐ Schwab-Polen Growth		None			Sold	05/07/13	K	C	
79. ☐ Schwab-Schwab Cap Tr S&P 500 Invs Select	B	Dividend	L	T	Buy (add'l)	02/13/13	L		
80. ☐ Schwab-Schwab Cap Tr S&P 500 Invs Select	B	Dividend	L	T	Sold (part)	08/29/13	K	C	
81. ☐ Schwab-Schwab Cap Tr S&P 500 Invs Select	B	Dividend	L	T	Sold (part)	01/08/14	K	D	
82. ☐ Schwab-US Treasury Money Fund	A	Interest	L	T					
83. ☐ Schwab-Dreihaus Mut Funds Active Income (X)	A	Dividend	J	T	Buy	02/13/13	J		
84. ☐ Schwab-Eaton Vance Global Macro Absolute (X)	B	Dividend	K	T	Buy	02/13/13	K		
85. ☐ Schwab-Eaton Vance Global Macro Absolute (X)	B	Dividend	K	T	Buy (add'l)	04/15/13	K		

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. [REDACTED] Schwab-Pimco All Asset All Authority (X)	B	Dividend	K	T	Buy	02/13/13	K		
87. [REDACTED] Schwab-Pimco All Asset All Authority (X)	B	Dividend	K	T	Buy (add'l)	04/15/13	K		
88. [REDACTED] Schwab-Ivy Municipal High Income Fund (X)	B	Dividend	K	T	Buy	02/13/13	K		
89. [REDACTED] Schwab-Ivy Municipal High Income Fund (X)	B	Dividend	K	T	Buy (add'l)	09/23/13	J		
90. [REDACTED] Schwab-Ivy Municipal High Income Fund (X)	B	Dividend	K	T	Sold (part)	04/15/13	J	B	
91. [REDACTED] Schwab-Wells Fargo Fds TR Adint (X)	C	Dividend	M	T	Buy	02/13/13	L		
92. [REDACTED] Schwab-Wells Fargo Fds TR Adint (X)	C	Dividend	M	T	Buy (add'l)	08/29/13	K		
93. [REDACTED] Schwab-Wells Fargo Fds TR Adint (X)	C	Dividend	M	T	Buy (add'l)	09/23/13	L		
94. [REDACTED] Schwab-Wells Fargo Fds TR Adint (X)	C	Dividend	M	T	Buy (add'l)	01/08/14	K		
95. [REDACTED] Schwab-Blackrock FDS II Strg Opp Instl (X)	B	Dividend	K	T	Buy	02/13/13	L		
96. [REDACTED] Schwab-Blackrock FDS II Strg Opp Instl (X)	B	Dividend	K	T	Sold (part)	09/23/13	K		
97. [REDACTED] Schwab-Goldman Sachs Tr Strg Incst Inst (X)	A	Dividend	K	T	Buy	08/08/13	L		
98. [REDACTED] Schwab-Goldman Sachs Tr Strg Incst Inst (X)	A	Dividend	K	T	Sold (part)	09/23/13	J	A	
99. [REDACTED] Schwab-Goldman Sachs Tr Strg Incst Inst (X)	A	Dividend	K	T	Sold (part)	12/02/13	K	A	
100. [REDACTED] Schwab-Pimco Fds Uncstr Bd Inst (X)	A	Dividend	K	T	Buy	02/13/13	L		
101. [REDACTED] Schwab-Pimco Fds Uncstr Bd Inst (X)	A	Dividend	K	T	Sold (part)	09/23/13	K		
102. [REDACTED] Schwab-Hamlin High Dividend Equity Inst (X)	B	Dividend	K	T	Buy	04/15/13	J		

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

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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)
103. [REDACTED] Schwab-Hamlin High Dividend Equity Inst (X)	B	Dividend	K	T	Buy (add'l)	05/07/13	K		
104. [REDACTED] Schwab-Hamlin High Dividend Equity Inst (X)	B	Dividend	K	T	Sold (part)	01/08/14	K	B	
105. [REDACTED] Schwab-Mutual Discovery Fd C1 Z (X)		None	K	T	Buy	01/08/14	K		
106. [REDACTED] Schwab-Jefferies Asset Mgt Cmdty (X)		None			Buy	02/13/13	K		
107. [REDACTED] Schwab-Jefferies Asset Mgt Cmdty (X)		None			Sold	11/11/13	K		
108. [REDACTED] IRA Contributry Schwab- Driehaus Mut Funds Active	A	Dividend	K	T	Buy (add'l)	04/15/13	K		
109. [REDACTED] IRA Contributory Schwab- IShares TR Lehman AGG Bnd	A	Dividend			Sold	04/15/13	J	A	
110. [REDACTED] IRA Contrbry Schwab- Schwab Cap TR S&P 500 Invs Sel	A	Dividend			Sold (part)	08/29/13	J	B	
111. [REDACTED] IRA Contrbry Schwab- Schwab Cap TR S&P 500 Invs Sel	A	Dividend			Sold	01/08/14	J	B	
112. [REDACTED] IRA Contributry Schwab2- IShares TR Lehman AGG BND	A	Dividend	J	T					
113. [REDACTED] IRA Contributory Schwab- Vanguard Total Intl Stk (X)	A	Dividend			Sold	01/09/14	J	B	
114. [REDACTED] IRA Contributory Schwab- ishares Tr Hi Div Eqt Fd (X)	A	Dividend			Sold	04/15/13	J	A	
115. [REDACTED] IRA Contributory Schwab- SPDR S&P Div ETF (X)	A	Dividend			Sold	02/13/13	J	A	
116. [REDACTED] IRA Contributory Schwab- Vanguard Star Fd Intl (X)	A	Dividend			Sold	01/08/14	J	A	
117. [REDACTED] IRA Contributory Schwab- ALPS ETF Tr Alerian MLP (X)	A	Dividend			Sold	02/13/13	J	A	
118. [REDACTED] IRA Contributory Schwab- BBH Fd Core SL Retail (X)	A	Dividend	J	T					
119. [REDACTED] IRA Contributory Schwab- Polen Growth		None			Sold	05/07/13	J		

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

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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)
120. [REDACTED] IRA Contributory Schwab- Pimco All Asset All Auth (X)	A	Dividend	K	T	Buy	09/23/13	J		
121. [REDACTED] IRA Contributory Schwab- Pimco All Asset All Auth (X)	A	Dividend	K	T	Buy (add'l)	12/02/13	J		
122. [REDACTED] IRA Contributory Schwab- Pimco All Asset All Auth (X)	A	Dividend	K	T	Buy (add'l)	01/08/14	J		
123. [REDACTED] IRA Contributory Schwab- Gldmn Sachs Tr Strg Incm (X)	A	Dividend	J	T	Buy	08/29/13	J		

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

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

Please note for purposes of Part VII that investments in the Schulte Roth & Zabel LLP Group Trust (line 4) are managed by an advisory committee. I am informed that in 2013 the SRZ Group Trust invested in thirty-two separate and independently managed hedge funds, one mutual fund and one cash account. These investment vehicles were selected in the sole discretion of the advisory committee for the SRZ Group Trust. With the exception of individuals who serve on that committee, current and former partners of the firm have no knowledge concerning the identity of any of these funds and have no control over the selection of any particular fund or the decision to transfer investments from one fund to another. The fund selections may be changed from time to time based on performance and other investment considerations, and the number of funds varied during calendar year 2013 depending on investments and redemptions. I do not know the names of any of funds held by the SRZ Group Trust, and so this information is not set forth in the report. A similar explanation regarding the SRZ Group Trust appeared in my initial disclosure report and in annual reports for the years ended 12/31/06, 12/31/07, 12/31/08, 12/31/09, 12/31/10, 12/31/11 and 12/31/12.

My retirement from the bench became effective on January 31, 2014, and I elected to return to the practice of law. On March 3, 2014, I joined the law firm of Morrison & Foerster LLP as Senior of Counsel in the firm's New York office. My current office address is 250 W. 55th Street, New York, N.Y. 10019.

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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/ James M. Peck,**

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

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