

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013**

*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) FERGUSON, KATHRYN C.	2. Court or Organization UNITED STATES BANKRUPTCY COURT	3. Date of Report 07/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES BANKRUPTCY COURT JUDGE - FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address CLARKSON S. FISHER FEDERAL BUILDING 402 EAST STATE STREET TRENTON, NJ 08608		
IMPORTANT NOTES: <i>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>		

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 MEMBER	FRIENDS OF THE LAMBERTVILLE LIBRARY
2.		
3.		
4.		
5.		

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

☒ NONE *(No reportable agreements.)*

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

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FERGUSON, KATHRYN C.

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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.	NATIONAL CONFERENCE OF BANKRUPTCY JUDGES	OCTOBER 30, 2013 - NOVEMBER 2, 2013	ATLANTA, GEORGIA	JUDGE'S ASSOCIATION ANNUAL MEETING	TRANSPORTATION, LODGING
2.					
3.					
4.					
5.					

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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. US Savings Bonds		None	J	T					
2. Brinker Capital Inc:									
3. Aberdeen Emerging Mkts CL A	A	Dividend			Buy (add'l)	09/16/13	J		
4.	A	Dividend			Sold	10/10/13	J	A	
5. Aston/River Rd Independent Value N		None			Sold	12/16/13	J	A	
6. Avenue Credit Strategies Investor	A	Dividend			Buy	06/06/13	J		
7.					Sold (part)	07/19/13	J		
8.					Sold	12/16/13	J	A	
9. Clearbridge Small Cap Grw CL A	A	Dividend			Buy	01/09/13	J		
10.					Sold (part)	07/19/13	J	A	
11.					Sold	12/16/13	J	A	
12. Columbia Dividend Opportunity CL A	A	Dividend			Buy (add'l)	09/24/13	J		
13.	A	Dividend			Sold	12/16/13	J	A	
14. Columbia Select Lrg Cap Growth Class A		None			Buy	12/11/13	J		
15.		None			Sold	12/16/13	J	A	
16. Delaware Value Fd CL A	A	Dividend			Buy (add'l)	09/23/13	J		
17.	A	Dividend			Sold	12/16/13	J	A	

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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)
18. Doubleline Low Duration CL N	A	Dividend			Buy	11/29/13	J		
19.	A	Dividend			Sold	12/16/13	J	A	
20. Doubleline Total RT Bond Fd CL N	A	Dividend			Buy (add'l)	11/29/13	J		
21.	A	Dividend			Sold	12/16/13	J		
22. Driehaus Active Income Fund	A	Dividend			Buy (add'l)	09/18/13	J		
23.	A	Dividend			Sold	12/16/13	J	A	
24. Fidelity Intermediate Muni Income	A	Int./Div.			Buy (add'l)	11/29/13	J		
25.	A	Int./Div.			Sold	12/16/13	J		
26. Forward EM Corporate Debt Fund Investor	A	Dividend			Buy (add'l)	09/25/13	J		
27.	A	Dividend			Sold	12/16/13	J		
28. JP Morgan Strategic Income Opport A	A	Dividend			Buy	2/19/13	J		
29.	A	Dividend			Sold (part)	7/19/13	J	A	
30.	A	Dividend			Sold	12/16/13	J		
31. JP Morgan Tax Aware Real Rtn Select CL	A	Dividend			Sold	06/06/13	J		
32. Listed Private Equity CL A		None			Sold	12/16/13	J	A	
33. Merger Fund		None			Sold	02/19/13	J		
34. Merk Hard Currency Fund Investor CL		None			Sold	06/06/13	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 \$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
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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 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)
35. MFS International Value Fund CL A	A	Dividend			Buy (add'l)	12/12/13	J		
36.	A	Dividend			Sold	12/16/13	J	A	
37. Morgan Stanley Global Real Estate Port P		None			Sold	06/06/13	J	A	
38. Northern Intermed Tax Exempt Fund	A	Int./Div.			Buy (add'l)	11/25/13	J		
39.	A	Int./Div.			Sold	12/16/13	J		
40. Ridgeworth Mid Cap Value Equity CL I		None			Sold	12/16/13	J	A	
41. Rivernorth Core Opportunity Fund		None			Buy (add'l)	10/10/13	J		
42.					Sold	12/16/13	J	A	
43. RS Global Natural Resources CL A		None			Sold	12/16/13	J		
44. Spartan 500 Index FAdvantage Class	A	Dividend			Buy (add'l)	12/13/13	J		
45.	A	Dividend			Sold	12/16/13	J	A	
46. T Rowe Price Growth Stock Advisor CL	A	Dividend			Buy (add'l)	12/13/13	J		
47.	A	Dividend			Sold	12/17/13	J	A	
48. T Rowe Price Intl Stock Advisor CL		None			Sold	12/16/13	J	A	
49. TCW Dividend Focused Fund CL N	A	Dividend			Buy (add'l)	09/30/13	J		
50.	A	Dividend			Sold	12/16/13	J	A	
51. TCW Small Cap Growth Class N		None			Sold	01/08/13	J	A	

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
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52. Touchstone Focused Equity Fund Class A		None			Buy (add'l)	10/10/13	J		
53.					Sold	12/16/13	J	A	
54. Wasatch Emerging Markets Small Cap FD		None			Sold	12/16/13	J		
55. Wasatch Frontier Emerging Small Cos		None			Sold (part)	07/19/13	J	A	
56.					Sold	12/16/13	J	A	
57. Wasatch International Opportunities FD		None			Buy (add'l)	10/10/13	J		
58.					Sold	12/16/13	J	A	
59. Wells Fargo Ultra Shrt Trm Muni CL A	A	Int./Div.			Buy (add'l)	09/30/13	J		
60.	A	Int./Div.			Sold	10/10/13	J		
61.									
62. New England Securities Inc.:									
63. BMO Intermediate	A	Dividend	J	T	Buy	10/24/13	J		
64.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
65. Delaware Tax Free	A	Dividend	J	T	Buy	10/24/13	J		
66.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
67. Dodge & Cox Stock	A	Dividend	J	T	Buy	10/24/13	J		
68.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		

1. Income Gain Codes:
(See Columns B1 and D4)

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F = \$50,001 - \$100,000
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B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

3. Value Method Codes
(See Column C2)

Q = Appraisal
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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)
69. Eaton Vance	A	Dividend	J	T	Buy	10/24/13	J		
70.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
71. European Growth	A	Dividend	J	T	Buy	10/24/13	J		
72.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
73. Goldman Sachs Short	A	Dividend	J	T	Buy	10/24/13	J		
74.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
75. JP Morgan Short	A	Dividend	J	T	Buy	10/24/13	J		
76.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
77. Western Asset		None	J	T	Buy	10/24/13	J		
78.		None	J	T	Buy (add'l)	12/30/13	J		
79. T Rowe Price Growth	A	Dividend	J	T	Buy	10/24/13	J		
80.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
81. T Rowe Price Emerging Markets	A	Dividend	J	T	Buy	10/24/13	J		
82.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
83. Vanguard Specialized Appreciation Index FD ETF	A	Dividend	J	T	Buy	10/24/13	J		
84.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
85. Vanguard Intl Equity Emerging Mkts ETF	A	Dividend	J	T	Buy	10/24/13	J		

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

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86.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
87. Vanguard Short-Term		None	J	T	Buy	10/24/13	J		
88.			J	T	Buy (add'l)	12/30/13	J		
89. Vanguard		None	J	T	Buy	10/24/13	J		
90.			J	T	Buy (add'l)	12/30/13	J		
91. Vanguard 500 Index	A	Dividend	J	T	Buy	10/24/13	J		
92.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
93. Vanguard Index FDS	A	Dividend	J	T	Buy	10/24/13	J		
94.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
95. Vanguard Index FDS ETF	A	Dividend	J	T	Buy	10/24/13	J		
96.	A	Dividend	J	T	Buy (add'l)	12/30/13	J		
97.									
98.									
99.									
100.									
101.									
102.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

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Q = Appraisal

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G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103.									
104.									
105.									
106.									

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
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K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
I11 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

FERGUSON, KATHRYN C.

Date of Report

07/01/2014

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

FERGUSON, KATHRYN C.

Date of Report

07/01/2014

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/ KATHRYN C. FERGUSON**

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