

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012**

*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) Bennett, Thomas B.	2. Court or Organization U.S. Bkr. Ct. for N.D. Ala.	3. Date of Report 05/13/2013
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	6. Reporting Period 01/01/2012 to 12/31/2012
	5b. ☐ Amended Report	
7. Chambers or Office Address 505 20th Street North, Room 412 Birmingham, AL 35203		
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.	Trustee	Trust
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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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. 01/10/12	Trust--Trustee Fee (Gross sum w/o deduction for expenses)	\$12,000.00
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.	
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.	George Mason University Law & Economics	03/10-03/16/12	Orange, CA	CLE Program	Partial Transportation, lodging, partial meals
2.	Alabama State Bar	06/07-06/10/12	Destin, FL.	CLE Program	Transportation, lodging, partial meals.
3.	National Conference of Bankruptcy Judges	10/23-10/27/12	San Diego, CA	Professional Association Activity	Transportation, lodging, meals
4.	George Mason University Law & Economics	10/07-10/10/12	Arlington, VA	CLE Program	Partial transportation, lodging, partial meals.
5.	Pittsburgh, PA Inns of Court	11/28-11/30/12	Pittsburgh, PA	CLE Program	Transportation, lodging, partial meals

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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. Regions Bank - deposit account		None	J	T					
2. Citizens Bank - deposit account		None	J	T					
3. United Bank - deposit account		None	J	T					
4. BB & T - deposit account		None	J	T					
5. IRA:									
6. HilliardLyons Money Market	C	Dividend	K	T	Buy/Sell	Vari.	N		See Note 1 Part VIII
7.					Distributed (part)	01/06/12	K		Distbn. To Judge
8.					Distributed (part)	05/16/12	K		Distbn. to Judge
9. Bristol Myers Squibb Co., common	A	Dividend			Sold	11/05/12	K	D	
10. Public Storage, 6.18%, pfd. D	B	Dividend			Sold	11/16/12	K	C	
11. Public Storage, 5.75% pfd. T	A	Dividend			Buy	03/05/12	K		
12.					Sold	11/16/12	K	A	
13. Health Care REIT, Pfd. F	B	Dividend			Redeemed	04/02/12	K	A	
14. Wachovia Capt.Trust IV, Pfd.	B	Dividend			Redeemed	04/13/12	K	B	
15. Valuevision Media Inc., common	A	Dividend			Sold	06/20/12	K	A	
16. American Electric Power Co., Inc., common	A	Dividend			Sold	11/09/12	K	C	
17. Exelon Corp, common	A	Dividend			Sold	11/09/12	K	A	

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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☐ 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. Omega Healthcare Investors Inc., common	A	Dividend			Sold	02/07/12	K	C	
19. BGC Partners Inc., common	A	Dividend			Sold	03/02/12	K	B	
20. Roundy's Inc., common	A	Dividend			Buy	07/12/12	J		
21.	A	Dividend			Buy (add'l)	07/26/12	J		
22.					Sold	11/09/12	J	A	
23. Halcon Resources Corp., common	A	Dividend			Buy	08/13/12	J		
24.					Sold	11/09/12	J	A	
25. CBL & Associates PPtys, 6.625 pfd E	A	Dividend			Buy	09/27/12	K		
26.					Sold	11/09/12	K	A	
27. Stanley Black & Decker, Inc., 5.75%, Jr. sub. Debenture--pfd	A	Dividend			Buy	07/26/12	K		
28.					Sold	11/16/12	K	A	
29. Apple Bank for Savings, CD, .300%,due 03/19/13	A	Interest	M	T	Buy	12/26/12	M		
30. Beal Bank USA, CD, .45%, due 07/03/13	A	Interest	M	T	Buy	12/26/12	M		
31. BB&T Capt. Tr. V, 8.95%	A	Dividend			Buy	04/18/12	K		
32.					Redeemed	07/18/12	K	A	
33. BB&T Capt. Tr. VI, 9.6%	A	Dividend			Buy	05/22/12	K		
34.					Redeemed	07/1/12	K	A	

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	
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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)
35. BB& T Capt. Tr. VII, 8/1%	A	Dividend			Buy	04/25/12	K		
36.					Redeemed	07/18/12	K	A	
37. State Street Corp., pfd. C, 5.225%	A	Dividend			Buy	08/14/12	K		
38.					Sold	09/27/12	K	A	
39. Trust:									
40. Neuberger & Berman Focus Fund-mutual fund	A	Dividend	J	T					
41. HilliardLyons, Inc. Govt. Fund-money market	B	Dividend	K	T	Buy/Sell	Vari.	O		See Note 2 Part VIII
42.					Distributed (part)	04/07/12	J		Distbn. to Beneficiary
43.					Distributed (part)	07/07/12	J		Distbn. to Beneficiary
44.					Distributed (part)	10/06/12	J		Distbn. to Beneficiary
45.					Distributed (part)	12/16/12	K		Distbn. to Beneficiary
46.					Distributed (part)	01/10/12	J		Payment of Trustee Fee
47. Mineral Interest Hart #2 & Denmark #1, Marion County, WV	A	Royalty	J	T					
48. Mineral Interest Hawker Wells, Marion Cty, WV	B	Royalty	J	T					
49. Mineral Interest Speedway Play, Roane Cty., WV		None	J	T					
50. Lease O & G [REDACTED] acres, Harrison Cty, WV--PetroEdge Energy	D	Royalty	J	T					
51. Lease O & G [REDACTED] acres, Mannington Dist., WV--EQT Prod.	E	Royalty	J	T					

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	
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52. Bank One Cap. Tr. VI, 7.2%, pfd.	A	Dividend			Redeemed (part)	04/30/12	K	A	
53.					Sold	11/16/12	J	A	
54. First Bank Puerto Rico, 2.35%, CD, 09/04/12	B	Interest			Redeemed	09/17/12	K	A	
55. Nat'l City Cap.Tr. III, 6.625%, pfd.	B	Dividend			Redeemed	05/25/12	K	C	
56. Peoples Bank of Wisconsin, 2.5%, CD, 09/04/13	B	Interest	L	T					
57. Republic Bank, 2.65%, CD, 07/13/12	B	Interest			Redeemed	07/13/12	L	A	
58. Republic Bank, 2.25%, CD, 09/17/12	B	Interest			Redeemed	09/17/12	L	A	
59. Sallie Mae Bank, 3.35%, CD, 05/28/13	A	Interest	K	T					
60. Wachovia IX, 6.375%, pfd.	A	Dividend			Redeemed	06/15/12	K	C	
61. Public Storage, Pfd. D	B	Dividend			Sold	11/16/12	K	C	
62. First Sentry Bank, 1.8%, C,D 01/22/13	B	Interest	K	T					
63. Amer. Express Centurion Bk., 1.35%, CD, 02/03/12	A	Interest			Redeemed	02/03/12	K	A	
64. Hospitality Prop. Trust, 6.85%, Sr. Note, 07/15/12	A	Interest			Redeemed	04/11/12	L	A	
65. Altria Group Inc., common	B	Dividend			Sold	11/16/12	K	D	
66. Regions Financial Corp., 4.875%, Sr. Note, 04/26/13	B	Interest	K	T					
67. Morgan Stanley Med. Term Note, 4.2%, 04/26/13	C	Interest	M	T					
68. Dow Chemical Co., internotes, 3.3%, 09/15/15	B	Interest	K	T					

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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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69. Dow Chemical co., internotes, 4.1%, 09/15/17	C	Interest	K	T					
70. Morgan Stanley Dean Witt., Sr. Note, 4.0%, 09/22/20	C	Interest	M	T					
71. Nisource, Inc., common	B	Dividend			Sold	11/16/12	K	C	
72. American Elec. Power Co., Inc., common	A	Dividend			Sold	11/16/12	K	B	
73. Excelon Corp., common	B	Dividend			Sold	11/16/12	J	A	
74. Apple Bank for Savings, CD	A	Interest	M	T	Buy	12/26/12	M		
75. Beal Bank USA, CD	A	Interest	L	T	Buy	12/26/12	L		
76. Roundy's Inc., common	A	Dividend			Buy	07/12/12	J		
77.					Buy (add'l)	07/26/12	J		
78.					Sold	11/09/12	J	A	
79. Aflac Inc. pfd 5.5% sub Debn., 09/15/52	A	Dividend			Buy	09/09/12	K		
80.					Sold	11/16/12	K	A	
81. DNP Select Income Fund	A	Dividend			Buy	09/18/12	K		
82.					Sold	11/16/12	K	A	
83. CBL & Assoc. Pptys, pfd. E	A	Dividend			Buy	09/27/12	K		
84.					Sold	11/16/12	K	A	
85. Stanley Black & Decker, pfd., sub debn. 5.75%	A	Dividend			Buy	07/26/12	K		

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	
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86.					Sold	11/16/12	K	A	
87. Everbank, CD	A	Interest	L	T	Buy	09/20/12	L		
88. Bank of China New York, CD	A	Interest	L	T	Buy	09/20/12	L		
89. State Street Corp., pfd. C, 5.25%	A	Dividend			Buy	08/14/12	K		
90.					Sold	09/27/12	K	A	
91. BB& T Capt. Tr., pfd. S, 8.95%	A	Dividend			Buy	04/18/12	K		
92.					Redeemed	07/18/12	K	A	
93. BB&T Capt. Tr., pfd 9.6%	A	Dividend			Buy	05/22/12	K		
94.					Redeemed	07/18/12	K	A	
95. Gen. Elec. Cap. Corp, Internotes, 3.2%, Due 02/15/21	B	Interest	K	T	Buy	02/09/12	L		
96. Safra Nat'l. Bk. of N.Y., CD 0.4%	A	Interest	K	T	Buy	02/09/12	K		
97. Gen. Elec. Cap. Corp. Internotes, 4.0%, Due 02/15/23	B	Interest	K	T	Buy	01/25/12	L		
98. Goldman Sachs Group Inc., Med. Term Note, 3.5%, due 02/15/16	B	Interest	K	T	Buy	01/25/12	L		

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

Note 1 to Part VII, Investments and Trusts: This is a money market account with respect to which there were various deposits and withdrawals. The money market fund investments are not under the control of the owner(s) and/or beneficiary(ies). Also, all deposits and withdrawals are reflected on lines 6 through 38 of Part VII and were composed of dividends, interest, sales proceeds, redemption proceeds, call proceeds, purchases, and distributions to Judge as described on the referenced lines of Part VII.

Note 2 to Part VII, Investments and Trusts. This is a money market account with respect to which there were various deposits and withdrawals. The money market fund investments are not under the control of the owner(s) and/or beneficiary(ies). Also, all deposits and withdrawals are reflected on lines 40 through 98 of Part VII and line 1 of Part III A and were composed of dividends, interest, sale proceeds, redemption proceeds, call proceeds, purchases and distributions to the income beneficiary as described on lines 40 through 45, 47 through 98 of Part VII along with the Trustee payment referenced on line 1 of Part III A and on line 46 of Part VII..

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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/ Thomas B. Bennett**

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

**UNITED STATES BANKRUPTCY COURT
FOR THE NORTHERN DISTRICT OF ALABAMA**

**Southern Division
1800 5th Avenue North
Room 128
Birmingham, AL 35203
July 25, 2013**

Thomas B. Bennett
Chief Judge

(205) 714-3880
[REDACTED]

Honorable Joseph H. McKinley, Jr., Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

Response to Committee Letter Dated
July 25, 2013–PetroEdge Energy/EQT
Production–2012 Calendar Year Filing

Dear Judge McKinley:

I am writing in response to your July 25, 2013 letter to me regarding Part VII, page 6, lines 48 and 49 of my 2012 calendar year filing of my financial disclosure. However, the disclosure statement items you question are actually set forth on lines 50 and 51 of my copy of my financial disclosure which has set forth on line 50 "Lease O & G [REDACTED] acres, Harrison Cty, WV–PetroEdge Energy" and line 51 "Lease O & G [REDACTED] acres, Mannington Dist., WV–EQT Prod."

Your are correct that these leases were not in my prior year financial disclosure reports. However, the instructions in your letter and the filing instructions are not useful or helpful. In point of fact, they do not cover the type of transaction involved with the leases with PetroEdge Energy and EQT Production. This is due to the fact that both leases were entered into by the Trust in 2012. Thus, they are not leases that were previously owned and exempt from disclosure. Likewise, the leases were not reportable through an exempt transaction such as an inheritance, a marriage, or a gift from a family member, or upon an event which does not constitute a reportable transaction. Likewise and during the reporting period, these leases were not purchased, sold, redeemed, distributed, or otherwise within the terms set forth in Column D(1). All that occurred was that two new leases were entered into by the Trust in 2013 for factional interests in minerals located in West Virginia for which no production of oil or gas has ever occurred. The income information set forth in the respective column B locations on the financial disclosure were received and are accurate.

Hon. Joseph H. McKinley, Jr. Chair
Committee on Financial Disclosure
Washington, D.C. 20544
July 25, 2013

Essentially and as best as I can determine, this is an instance when the form devised does not cover the transactions involved in the manner contemplated for other forms of income generating investments. I trust this response is sufficient for purposes of my 2012 calendar year financial disclosure filing.

Sincerely,

A rectangular gray box used to redact the signature of Thomas B. Bennett.

Thomas B. Bennett