

**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) SHIFF, ALAN H. W.	2. Court or Organization CT. BANKRUPTCY COURT	3. Date of Report 7/30/2012
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 915 LAFAYETTE BOULEVARD BRIDGEPORT, CT 06604		
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. Insert signature on last page.</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.	
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.		
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.				
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. PEOPLES BANK		None	J	T					
2. PEOPLES BANK	A	Interest	J	T					
3. IBM	E	Dividend	P1	T					
4. A T & T	A	Dividend	K	T					
5. INTEL	D	Dividend	M	T					
6. TORRAY FUND	C	Dividend	N	T					
7. VANGUARD PRIME MM	A	Dividend	K	T					
8. VANGUARD TRUST 500	C	Dividend	M	T					
9. VANGUARD INT'L. GROWTH	A	Dividend	J	T					
10. VANGUARD EXT. MKT	A	Dividend	K	T					
11. MORGAN STANLEY/SMITH BARNEY M. M.	A	Dividend	J	T					
12. GENERAL ELECTRIC	C	Dividend	K	T					
13. MORGAN STANLEY/SMITH BARNEY IRA-BLACKROCK GL. ALLOC. FD	A	Dividend	K	T					
14. MORGAN STANLEY/SMITH BARNEY IRA-BLACKROCK GL. ALLOC. FD	A	Dividend	K	T					
15. VANGUARD FUND IRA-ADMIRAL TSY MM	B	Dividend	M	T					
16. TORRAY FUND IRA	B	Dividend	K	T					
17. FIDELITY EQUITY INC. II	A	Dividend	K	T					

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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18. EATON VANCE TAX MNG. BUY-WRITE OPP. FD	B	Dividend	M	T					
19. EATON VANCE TAX MNG GLOBAL DIV. EQ. INC. FUND	B	Dividend	M	T					
20. EATON VANCE RISK MNG DIV EQ. INC. FD.	B	Dividend	M	T					
21. EATON VANCE TAX MNG. DIV EQ. INC. FD	A	Dividend	M	T					
22. EATON VANCE TAX MNG GLOBAL BUY-WRITE OPP. FD.	B	Dividend	M	T					
23. ING GLOBAL ADV. & PREM. FD	D	Dividend	M	T					
24. LINCOLN NATIONAL CHOICE PLUS ASSURANCE	E	Dividend	N	T					
25. CBS	A	Dividend	J	T	Buy	01/10/11	J		
26. VIACOM CLASS B	A	Dividend	J	T	Spinoff (from line 25)	1/11/11	J		
27. ING GLOBAL EQUITY & DIVIDEND	A	Dividend			Buy	01/05/11	M		
28. ING GLOBAL EQUITY & DIVIDEND	A	Dividend			Sold	03/01/11	M		
29. NFJ DIVIDEND	D	Dividend	M	T	Buy	03/01/11	M		

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(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

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

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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

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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