

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) Bennett, Thomas B.	2. Court or Organization U.S. Bkr. Ct. for N.D. Ala.	3. Date of Report 04/30/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 1800 5th Avenue North Robert Vance Federal Building Birmingham, Alabama 35203		
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.	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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Alabama State Bar	6/20-6/23/13	Destin, FL.	CLE Program	Partial transportation, lodging, partial meals.
2. National Conference of Bankruptcy Judges	10/29-11/02/13	Atlanta, GA	Professional Association Activity	Partial transportation, lodging, meals
3. American College of Bankruptcy	3/14-3/17/13	Washington, DC	CLE Program and Professional Association Activity	Partial transportation, lodging, and meals
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.)*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 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. Wells Fargo - deposit account		None	J	T	Open	07/02/13	J		
6. IRA:									
7. HilliardLyons Money Market	C	Dividend	K	T	Buy/Sell	Vari.	N		See Note 1 Part VIII
8.					Distributed (part)	05/20/13	K		Distbn. To Judge
9. Cullen Frost Bankers Inc. Non Cum. pfd.-A, 5.375%	C	Dividend	K	T	Buy	02/13/13	K		
10. United Bankshares, Inc. WV	B	Dividend			Buy	04/16/13	K		
11.					Sold	12/02/13	K	D	
12. ENI Spa, ADR	A	Dividend			Buy	07/24/13	K		
13.					Sold	11/13/13	K	B	
14. Calumet Specialty Products Partners LP	A	Dividend	K	T	Buy	07/25/13	K		
15. Apple Bank for Savings, CD, .300%, due 03/19/13	A	Interest			Redeemed	03/19/13	N		
16. Beal Bank USA, CD, .45%, due 07/03/13	A	Interest			Redeemed	07/03/13	M		
17. Trust:									

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 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 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)

18. Neuberger & Berman Focus Fund-mutual fund	A	Dividend	J	T					
19. HilliardLyons, Inc. Govt. Fund-money market	B	Dividend	K	T	Buy/Sell	Vari.	O		See Note 2 Part VIII
20.					Distributed (part)	04/08/13	J		Distbn. to Beneficiary
21.					Distributed (part)	07/08/13	J		Distbn. to Beneficiary
22.					Distributed (part)	10/10/13	J		Distbn. to Beneficiary
23.					Distributed (part)	12/26/13	K		Distbn. to Beneficiary
24.					Distributed (part)	01/23/13	J		Payment of Trustee Fee
25. Mineral Interest Hart #2 & Denmark #1, Marion County, WV	A	Royalty	J	T					
26. Mineral Interest Hawker Wells, Marion Cty, WV	B	Royalty	J	T					
27. Mineral Interest Speedway Play, Roane Cty., WV		None	J	T					
28. Lease O & G 58.54 acres, Harrison Cty, WV--PetroEdge Energy		None	J	T					
29. Lease O & G 97.75 acres, Mannington Dist., WV--EQT Prod.	A	Royalty	J	T					
30. Peoples Bank of Wisconsin, 2.5%, CD, 09/04/13	B	Interest			Redeemed	09/04/13	K		
31. Sallie Mae Bank, 3.35%, CD, 05/28/13	A	Interest			Redeemed	05/28/13	K		
32. First Sentry Bank, 1.8%, C,D 01/22/13	A	Interest			Redeemed	01/22/13	K		
33. Regions Financial Corp., 4.875%, Sr. Note, 04/26/13	B	Interest			Redeemed	04/26/13	L		
34. Morgan Stanley Med. Term Note, 4.2%, 04/26/13	C	Interest	M	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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	(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. Dow Chemical Co., internotes, 3.3%, 09/15/15	B	Interest	K	T					
36. Dow Chemical co., internotes, 4.1%, 09/15/17	B	Interest			Redeemed	09/16/13	K		
37. Morgan Stanley Dean Witt., Sr. Note, 4.0%, 09/22/20	C	Interest			Redeemed	09/23/13	L		
38. Apple Bank for Savings, CD	A	Interest			Redeemed	03/19/13	L		
39. Beal Bank USA, CD	A	Interest			Redeemed	07/03/13	L		
40. Everbank, CD	A	Interest			Redeemed	03/28/13	L		
41. Bank of China New York, CD	A	Interest			Redeemed	06/26/13	L		
42. Gen. Elec. Cap. Corp. Internotes, 3.2%, Due 02/15/21	B	Interest	K	T					
43. Safra Nat'l. Bk. of N.Y., CD 0.4%	A	Interest			Redeemed	02/22/13	K		
44. Gen. Elec. Cap. Corp. Internotes, 4.0%, Due 02/15/23	B	Interest	K	T					
45. Goldman Sachs Group Inc., Med. Term Note, 3.5%, due 02/15/16	B	Interest	K	T					
46. Cullen Frost Bankers Inc, pfd-A, 5.375%	B	Interest	K	T	Buy	02/13/13	K		
47. United Bankshares Inc. WV	B	Dividend			Buy	03/04/13	K		
48.					Sold	12/02/13	K	D	
49. Prudential Financial Inc., pfd Jr. Sub. Note, 5.7%	B	Dividend	K	T	Buy	03/07/13	K		
50. Gen. Elec. Cap. Corp. Internotes, 4.0%, 2/24/32	A	Interest	K	T	Buy	04/04/13	L		
51. Goldman Sachs Group Inc. Medium Term Note, 3.250%, 03/20/29	A	Interest	K	T	Buy	04/04/13	K		

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52. Amer. Express Centurion Bank, CD, 1.1%, 07/18/15	A	Interest	L	T	Buy	07/09/13	M		
53. Bank of China, CD, .350%, 01/17/14	A	Interest	K	T	Buy	07/09/13	L		
54. Bank of China, CD, 0.5%, 07/17/14	A	Interest	K	T	Buy	07/09/13	L		
55. Calument Specialty Products Partners LP.	A	Dividend	K	T	Buy	07/25/13	K		
56. ENI Spa, ADR	A	Dividend			Buy	07/24/13	K		
57.					Sold	11/13/13	K	B	
58. Ally Bank, CD, 0.85%, 10/01/15	A	Interest	M	T	Buy	09/23/13	M		
59. Bank of India, CD, 0.5%, 09/30/14	A	Interest	L	T	Buy	09/23/13	M		
60. Bank of India, CD, 0.45%, 04/02/14	A	Interest	L	T	Buy	09/24/13	M		

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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 7 through 16 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 18 through 60 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 18 through 23 and lines 25 through 60 of Part VII along with the Trustee payment referenced on line 1 of Part III A and on line 24 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
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Washington, D.C. 20544