

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) Shannon, Brendan L.	2. Court or Organization United States Bankruptcy Court, District of Delaware	3. Date of Report 05/05/2012 01/10/2013
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Bankruptcy Court 824 North Market Street Wilmington, DE 19801-3024		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. President	Neighborhood civic association, volunteer position
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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01/10/2013**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. 2011	Wages as adjunct professor at St. John's University Law School	\$7,000.00
2. 2011	Wages as adjunct professor at Widener University Law School	\$16,500.00
3. [REDACTED]	[REDACTED]	[REDACTED]
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. 2011	wages as substitute teacher
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. St. John's University	3/18/11 - 3/19/11	New York, New York	educational activities exclusive of judicial education	transportation, lodging, food
2. St. John's University	4/1/11 - 4/2/11	New York, New York	educational activities exclusive of judicial education	transportation, lodging, food
3. American Bankruptcy Institute	8/4/11 - 8/6/11	Hershey, PA	Non-FJC educational seminar program	transportation, lodging, food
4. St. John's University	11/4/11 - 11/5/11	New York, New York	educational activities exclusive of judicial	transportation, lodging, 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.)*

SOURCE

DESCRIPTION

VALUE

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.)*

CREDITOR

DESCRIPTION

VALUE 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. M & T Bank X	A	Interest	J	T					
2. Wilmington Trust Co. Y		None							
3. Vanguard Prime Money Market Fund	A	Int./Div.	L	T	Redeemed (part)	1/3/11	J	A	self
4.					Redeemed (part)	2/1/11	J	A	self
5.					Buy (add'l)	4/7/11	J		self
6.					Buy (add'l)	4/12/11	J		self
7.					Buy (add'l)	7/29/11	J		self
8.					Redeemed (part)	1/11/11	J	A	self
9.					Redeemed (part)	1/11/11	J	A	self
10.					Redeemed (part)	1/13/11	J	A	self
11.					Redeemed (part)	1/13/11	J	A	self
12.					Buy (add'l)	7/29/11	J		self
13.					Redeemed (part)	8/2/11	J	A	self
14.					Redeemed (part)	8/2/11	J	A	self
15.					Buy (add'l)	12/28/11	K		self
16. Vanguard Intermediate Term Tax Exempt Fund, Admiral Shares	E	Dividend	N	T					
17.					Buy (add'l)	1/31/11	J		self

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

A = \$1,000 or less

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

J = \$15,000 or less

N = \$250,001 - \$500,000

P2 = \$75,000,001 - \$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

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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				
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18.					Buy (add'l)	2/28/11	J		self
19.					Buy (add'l)	3/31/11	J		self
20.					Buy (add'l)	4/29/11	J		self
21.					Buy (add'l)	5/31/11	J		self
22.					Buy (add'l)	6/30/11	J		self
23.					Buy (add'l)	7/29/11	J		self
24.					Buy (add'l)	8/31/11	J		self
25.					Buy (add'l)	09/30/11	J		self
26.					Buy (add'l)	10/31/11	J		self
27.					Buy (add'l)	11/30/11	J		self
28.					Buy (add'l)	12/30/11	J		self
29. Vanguard Health Care Fund	C	Dividend	L	T					
30.					Buy (add'l)	12/16/11	J		self
31.					Buy (add'l)	12/16/11	J		self
32. Vanguard Total International Stock Index Fund	D	Dividend	M	T					
33. Vanguard Total Stock Market Index Fund, Admiral Shares	D	Dividend	O	T					
34.					Buy (add'l)	3/24/11	J		self

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
P1 = \$500,001 - \$1,000,000

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

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35.					Buy (add'l)	6/23/11	J		self
36.					Buy (add'l)	9/22/11	J		self
37.					Buy (add'l)	12/20/11	J		self
38.					Redeemed (part)	12/28/11	K	A	self
39. Vanguard Prime Money Market Fund, IRA	A	Dividend	L	T					
40. Vanguard Diversified Equity Fund, IRA	B	Dividend	M	T					
41.					Buy (add'l)	12/29/11	J		self
42. Vanguard Total International Stock Index Fund, IRA	A	Dividend	K	T					
43. Total Bond Market Index Fund	B	Dividend	L	T					
44. Fidelity International Small Cap Opportunities Fund X		None			Redeemed	3/31/11	K		self
45. Fidelity Contrafund	A	Int./Div.	K	T					
46. Fidelity Low Priced Stock Fund	C	Dividend	L	T					
47.					Buy (add'l)	9/9/11	J		self
48. Fidelity Low Priced Stock Fund, IRA	A	None	K	T					
49. Fidelity Education Account (1)	A	Int./Div.	L	T					
50. Fidelity Education Account (2)	A	Int./Div.	L	T					
51. Fidelity Education Account (3)	A	Int./Div.	L	T					
52. Rental Property Monroe County PA	C	Rent	N	W					

1. Income Gain Codes: A = \$1,000 or less B = \$1,001 - \$2,500 C = \$2,501 - \$5,000 D = \$5,001 - \$15,000 E = \$15,001 - \$50,000
(See Columns B1 and D4) F = \$50,001 - \$100,000 G = \$100,001 - \$1,000,000 H1 = \$1,000,001 - \$5,000,000 H2 = More than \$5,000,000
2. Value Codes J = \$15,000 or less K = \$15,001 - \$50,000 L = \$50,001 - \$100,000 M = \$100,001 - \$250,000
(See Columns C1 and D3) N = \$250,001 - \$500,000 O = \$500,001 - \$1,000,000 P1 = \$1,000,001 - \$5,000,000 P2 = \$5,000,001 - \$25,000,000
P3 = More than \$25,000,000

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

All of the Fidelity and Vanguard mutual funds, other than IRAs and Education Accounts, listed in Section VII are [REDACTED]

All of the Fidelity 529 Plan accounts listed in Section VII, lines 50 through 52, are for the benefit of [REDACTED] are the named beneficiaries of those accounts. Further, all of these accounts are age based accounts over which I do not have control of investment choices.

In Section VII., M&T Bank has been added and Wilmington Trust Company has been marked with an X. During 2011, the two banks merged and M&T took over all existing WTC accounts including [REDACTED] checking account. Therefore, the WTC account no longer exists and has been replaced by the M&T account.

In Section VII, Vanguard Morgan Growth Fund has been marked with an X as all shares in that [REDACTED] account were sold and redeemed in 2010. The account no longer exists.

Fidelity International Small Cap Opportunities Fund was redeemed in full on 3/31/11 by the owners, [REDACTED], and no longer exists as an asset.

At VII, lines 50- 52, no income is reported as all 3 accounts decreased in value over the course of the year and there were no reportable transactions on any of the accounts.

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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/ **Brendan L. Shannon**

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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