

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) KANE, JOHN L. JR.	2. Court or Organization DISTRICT of COLO.	3. Date of Report 6-30-09
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. SENIOR DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01-1-08 to 12-31-08
7. Chambers or Office Address 838 AAAA V.S. Courthouse 901 19th St. Denver, CO 80294	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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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Kane Jr, John L

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

KANE, JOHN L. JR

Date of Report

6.30.09

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.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

KANE, JOHN L. JR

Date of Report

6.30.09

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

KANE, JOHN L. JR

Date of Report

6-30-09

VII. INVESTMENTS and TRUSTS — Income, value, transactions; (Includes those of spouse and dependent children; see pp. 34-611 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset except 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IVW - iShares S&P 500 Growth Index	A	div	J	T	Sell	4/24	J	A	DNA
2. ICF - iShares Cohen & Steers Realty	A	div	J	T	Sell	3/31	J	A	"
3. SHY - iShares 1-3 yr Treasury Bond	A	div	K	T	Sell	3/20	K	A	"
4. IWR - iShares Russell Midcap Index	A	div	J	T	Sell	4/24	J	A	"
5. IWD - iShares Russell 1000 Value	A	div	J	T	Sell	3/20	J	A	"
6. VBK - VANGUARD SM CAP GROWTH	A	div	J	T	Sell	3/31	J	A	"
7. VBR - VANGUARD SM CAP VALUE	A	div	J	T	Sell	3/31	J	A	"
8. EEB - CLAYMORE/BNY BRIC ETF (EM Mids)	A	div	K	T	Sell	3/31	J	A	"
9. ADRD - BLDGS 100 ADR INDEX (INTL.)	A	div	J	T	Sell	3/20	J	A	"
10. TD MONEY MARKET	A	int	K	T	Buy	3/20	J	A	"
11. TDH - TDAX INDEPENDENCE 2020 ETF	A	div	J	T	Sell	10/20	J	A	"
12. VB - VANGUARD SM CAP VIBERS	A	div	J	T	Sell	3/20	J	A	"
13. TLT - iShares 20+ Yr. Treasury Bond	A	div	J	T	Sell	4/24	J	A	"
14. IWB - iShares Russell 1000 Index	A	div	J	T	Sell	3/20	J	A	"
15. IEF - iShares 7-10 Yr Treasury	A	div	K	T	Sell	3/20	J	A	"
16.									
17.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$30,001 - \$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 = Amortization W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

KANE, John L.

Date of Report

6.30.09

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

NONE

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

KANE, JOHN L. SR

Date of Report

6-30-09

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 WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Kane, John L.	2. Court or Organization District of CO	3. Date of Report 09/16/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address 838 Arraj US Courthouse 901 19th St Denver, CO 80294	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign 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. ADRD	BLDRS 100 ADR Index
2. IVW	ishares S&P 500 Growth Index
3. IEF	ishares 7-10 yr Treasury Bond Index
4. SHY	ishares 1-3 yr Treasury Bond Index
5. IWR	ishares Russell Mid Cap Index
6. IWD	ishares Russell 1000 Index Value
7. VBK	Vanguard MSCI US Sm Cap Index
8. VBR	Vanguard Sm Cap ValueETF
9. EEB	Claymore Exchange Traded Fd NBNY BRIC
10.TLT	ishares 20+ yr Treasury Bond Index
11.VB	Vanguard Sm Cap VIPERS ETF
12.IWB	ishares Russell 1000 Index
13ICF	ishares Cohen & Steers Realty ETF
14IVW	ishares S&P 500 Growth Index
15TDH	TDAX Independence 2020 ETF
16TD Money Mkt	TD Money Market cash sweep account

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Kane, John L

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.	

FINANCIAL DISCLOSURE REPORT
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Name of Person Reporting

Kane, John L.

Date of Report

09/16/2009

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.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kane, John L.

Date of Report

09/16/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. IWR	A	Dividend	J	T	Buy	3/20	J		
19. IWR	A	Dividend	J	T	Sold (part)	4/24	J	A	
20. SHY	A	Dividend	K	T	Sold (part)	3/20	J	A	
21. SHY	A	Dividend	K	T	Buy (add'l)	3/31	J		
22. SHY	A	Dividend	K	T	Sold (part)	4/24	J	A	
23. TDH	A	Dividend			Sold	10/20	J	A	
24. TLT	A	Dividend	J	T	Buy	3/20	J		
25. TLT	A	Dividend	J	T	Buy	3/31	J		
26. TLT	A	Dividend	J	T	Sold (part)	4/24	J	A	
27. VB	A	Dividend			Sold	3/20	J	A	
28. VBK	A	Dividend	J	T	Buy	3/20	J		
29. VBK	A	Dividend	J	T	Sold (part)	3/31	J	A	
30. VBK	A	Dividend	J	T	Sold (part)	4/24	J	A	
31. VBR	A	Dividend	J	T	Buy	3/20	J		
32. VBR	A	Dividend	J	T	Sold (part)	3/31	J	A	
33. VBR	A	Dividend	J	T	Sold (part)	4/24	J	A	
34. WELLS FARGO BANK ACCT	A	Int./Div.	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	
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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kane, John L.

Date of Report

09/16/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52.									
53.									

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	T = Cash Market
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated		

FINANCIAL DISCLOSURE REPORT
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Name of Person Reporting

Kane, John L.

Date of Report

09/16/2009

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Kane, John L.

Date of Report

09/16/2009

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 WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) KAUFFMAN, BRUCE W.	2. Court or Organization W.S. DISTRICT COURT, EASTERN P	3. Date of Report 09/16/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - RETIERD	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 07/20/2009
7. Chambers or Office Address 2 LIBERTY PLACE 50 S 16TH STREET - STE 2960 PHILADELPHIA, PA 19102	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign 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. DIRECTOR	FEDERAL JUDGES ASSOCIATION
2.	
3.	
4.	
5.	

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DISCLOSURE OFFICE

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

KAUFFMAN, BRUCE W.

Date of Report

09/16/2009

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. 2009	JUDICIAL RETIREES & SURVIVORS. VESTED PENSION	\$115,608.00
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. FEDERAL JUDGES ASSOCIATION ANNUAL MEETING	MAY 3 & 4, 2009	WASHINGTON, D.C.	ANNUAL BOARD MEETING	MEALS AND HOTEL
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

KAUFFMAN, BRUCE W.

Date of Report

09/16/2009

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. EDUCATION SERVICES	STUDENT LOAN	K
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

KAUFFMAN, BRUCE W.

Date of Report

09/16/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. PENNSYLVANIA BUSINESS BANK - C HECKING	A	Interest	J	T					
2. PNC BANK	B	Interest	K	T					
3. MOSAIC FUNDS		None	J	T					
4. WOMEN'S INVESTMENT NETWORK (SEE NOTE 2) (X)		None			Sold		J	A	
5. HOLLIDAYSBURG ASSOCIATES, L.P.		None	J	U					
6. HOLLIDAYSBURG LAND ASSOCIAT ES, LP		None	J	U					
7. CANTONE RESEARCH - IRA	D	Int./Div.	M	U					
8. - EVERGREEN INSTITUTION MM FD IS CL (X)					Sold	4/24	K	A	
9. - EVERGREEN US GOVT MONEY M ARKET FD CL A (X)					Sold	4/24	K	A	
10. - BONAVISTA ENERGY TRUST									
11. - EMERGE INTERACTIVE INC CL A									
12. - ENTERRA ENERGY TRUST									
13. - HEALTHFUSION.COM INC									
14. - LORILLARD INC.					Sold (part)	5/28	J	A	
15. - SOUTHERN COPPER CORP					Sold (part)	3/23	J	A	
16. - JP MORGAN CHASE BK NA CD					Buy	4/24	K		
17. - MAINSTAY HIGH YIELD CORPORATE BOND FD CL B					Buy	5/29	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)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

KAUFFMAN, BRUCE W.

Date of Report

09/16/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - FIRST TRUST SENIOR LOAN HIGH YLD C/E 6 CASH									
19. - BANK DEPOSIT SWEEP					Open	4/24	J		
20. CSP DEBT ACCOUNT LLC		None	J	U					
21.									
22.									
23.									
24.									
25.									

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)					

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

KAUFFMAN, BRUCE W.

Date of Report

09/16/2009

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

- 1.) FROM 2009 REPORT, PART VII, LINE 19, BANK DEPOSIT SWEEP ACCOUNT USED TO HOLD IDLE CASH.
- 2.) FROM 2009 REPORT, PART VII, LINE 2, THE ACTUAL SALE DATE OF THIS ASSET WAS UNABLE TO BE LOCATED. FOR PURPOSES OF THIS REPORT WE HAVE DISCLOSED THE ASSET OF BIENG SOLD, HOWEVER HAVE LEFT THE SALE DATE BLANK.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

KAUFFMAN, BRUCE W.

Date of Report

09/16/2009

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 WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544