

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) Morgenstern-Clarren, Pat E.	2. Court or Organization U.S. Bankruptcy Ct., N.D., Oh.	3. Date of Report 07/22/2014
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 Howard Metzenbaum US Ct. House 201 Superior Avenue East Cleveland, Ohio 44114		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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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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.		
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. 2013	
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.				
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. Merrill Lynch (IRA):									
2. -Putnam Premier 1 Tr.	A	Dividend	J	T					
3. -Entergy Corp Common Stock	A	Dividend	J	T					
4. -BA CA N.A. RASP (F/K/A ML Retirement Reserves Fund)	A	Interest	M	T					
5. -FIA Card Services NA RASP (F/K/A ML Retirement Reserves Fund)	A	Interest	M	T					
6. -Hewlett Packard Co. Common Stock	A	Dividend	K	T					
7. -Texas Instruments, Inc. Common Stock	A	Dividend	L	T					
8. -Apple Computer Inc. Common Stock	A	Dividend	M	T					
9. -KLA Tencor Corp. PV	A	Dividend	K	T					
10. -Colgate Palmolive Stock	A	Dividend	M	T					
11. -Agilent Technologies Inc.	A	Dividend	J	T					
12. -Intl Paper Co.	A	Dividend	J	T					
13. -Maxim Integrated Prods.	A	Dividend	K	T					
14. -Stratasys Ltd.		None	L	T	Buy	06/20/13	K		
15.					Buy (add'l)	06/26/13	K		
16. Merrill Lynch Brokerage Account (H):									
17. -ML Bank Deposit Program		None	J	T					

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 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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 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. -Entergy Corp. Common Stock	A	Dividend	J	T					
19. University Suburban Real Estate - Note Receivable	B	Interest	L	T					
20. Huntington National Bank - Various Accounts	A	Interest	K	T					
21. Huntington National Bank Money Market Account	A	Interest	M	T					
22. Huntington National Bank Money Market Account	A	Interest	M	T					
23. Third Federal Savings & Loan Savings Account #1	A	Interest	L	T					
24. Third Federal Savings & Loan Savings Account # 2	A	Interest	L	T					
25. New York Community Bank (f.k.a. Ohio Savings Bank) # 1	A	Interest	L	T					
26. New York Community Bank (f.k.a. Ohio Savings Bank) # 2	A	Interest	M	T					
27. Vanguard (IRA) (H):									
28. -Vanguard Admiral Treasury Money Market Fund	A	Dividend	L	T					
29. -Vanguard Balanced Index Fund Adm	D	Dividend	N	T	Buy	01/02/13	M		
30.					Buy (add'l)	02/04/13	M		
31.					Buy (add'l)	10/29/13	M		
32. -Vanguard Federal Money Market Fund	A	Dividend	N	T					
33. -Vanguard High Dividend Yld Idx Inv	D	Dividend	N	T	Buy	03/07/13	M		
34.					Buy (add'l)	04/02/13	M		

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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35.					Buy (add'l)	05/02/13	M		
36.					Buy (add'l)	10/29/13	M		
37. Fidelity (401K)(H):									
38. -Fidelity Freedom 2020		None			Sold	10/29/13	M		
39. -Vanguard Target Ret 2015	C	Int./Div.	M	T	Buy	10/29/13	M		
40. Lincoln National: Universal Life (no control)	B	Interest	L	T					
41. Charles Schwab Institutional (IRA)(H)(X):									
42. -Schwab Adv Cash Reserve	A	Dividend	J	T	Open	03/15/13	N		
43. -Avenue Credit Strategies Inst	A	Dividend	J	T	Buy	11/20/13	J		
44. -Avenue Credit Strategies Inv	A	Dividend	J	T	Buy	11/20/13	J		
45. -Cohen & Steers Preferred SEC and INCM A	A	Dividend	J	T	Buy	10/31/13	J		
46. -KKR Alternative High Yield Inv	A	Dividend	J	T	Buy	10/31/13	J		
47.					Buy (add'l)	11/20/13	J		
48. -PIMCO Global Advantage Strategy RD CL D	A	Dividend	J	T	Buy	03/18/13	J		
49.					Buy (add'l)	03/19/13	J		
50.					Sold (part)	06/21/13	J		
51. -PIMCO Global Advantage Strategy BD Inst	A	Dividend	J	T	Buy	03/26/13	J		

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52. -PIMCO Total Return Fund CL D	A	Dividend	J	T	Buy	03/18/13	J		
53.					Sold (part)	06/27/13	J		
54. -PIMCO Total Return Fund Instl CL	A	Dividend	J	T	Buy	03/26/13	J		
55. -PIMCO Unconstrained BD FD CL D	A	Dividend	J	T	Buy	03/18/13	J		
56.					Buy (add'l)	03/26/13	J		
57.					Sold (part)	06/21/13	J		
58.					Buy (add'l)	06/21/13	J		
59. -T Rowe Price Floating Rate Adv	A	Dividend	J	T	Buy	05/24/13	J		
60.					Buy (add'l)	06/21/13	J		
61. -T Rowe Price Inst Floating Rate FD	A	Dividend	J	T	Buy	06/21/13	J		
62. -Templeton Global Bond Fund Adv CL	A	Dividend	J	T	Buy	06/21/13	J		
63. -Templeton Global Bond Fund CL A	A	Dividend	J	T	Buy	06/21/13	J		
64. -Leucadia National Corp	A	Dividend	J	T	Buy	03/18/13	J		
65. -Absolute Oppty FD Inst SHS		None	J	T	Buy	03/18/13	J		
66. -Absolute Strategies Fund Instl SHR		None	J	T	Buy	03/18/13	J		
67. -ALPS Core CMDY MGMT Complete Cmdy Strat A		None	J	T	Buy	03/18/13	J		
68.					Buy (add'l)	03/26/13	J		

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69. -Aston Lake Partners Lasso Alternative FD CL N	A	Dividend	J	T	Buy	03/18/13	J		
70.					Buy (add'l)	05/02/13	J		
71. -Aston Lake Partners Lasso Alternative FD CL I	A	Dividend	K	T	Buy	03/26/13	J		
72.					Buy (add'l)	05/24/13	J		
73. -Blackrock Global Allocation CL A	A	Dividend	J	T	Buy	03/18/13	K		
74. -Blackrock Global Allocation Instl CL	A	Dividend	K	T	Buy	03/26/13	J		
75. -Center Coast MLP Focus FD A	A	Dividend	J	T	Buy	03/18/13	J		
76. -CMG SR Tactical Bond FD CL A		None	J	T	Buy	03/18/13	J		
77.					Sold (part)	05/24/13	J	A	
78. -CMG SR Tactical Bond FD CL I		None	J	T	Buy	10/31/13	J		
79. -Cushing MLP Premier FD CL A	A	Dividend	J	T	Buy	03/28/13	J		
80. -DFA Emerging Mkts Core Eqty Port Instl	A	Dividend	K	T	Buy	03/18/13	K		
81. -DFA Global Real Estate Securities Port	A	Dividend	J	T	Buy	03/18/13	J		
82. -DFA Intl Core Eqty Port Instl	A	Dividend	K	T	Buy	03/18/13	K		
83. -Empiric Core Equity Fund CL A		None	J	T	Buy	04/25/13	J		
84. -Forward Global Infrastructure Instl CL	A	Dividend	J	T	Buy	03/18/13	J		
85. -FPA Crescent Fund Inst CL Shares	A	Dividend	K	T	Buy	03/18/13	K		

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86. -Hatteras Alpha Hedged Strategies		None	J	T	Buy	04/08/13	J		
87. -IVA Worldwide FD CL A	A	Dividend	J	T	Buy	03/18/13	J		
88.					Buy (add'l)	04/08/13	J		
89. -IVA Worldwide FD CL I	A	Dividend	J	T	Buy	03/19/13	J		
90. -Ivy Asset Strategy Fund CL I	A	Dividend	K	T	Buy	03/18/13	K		
91. -Ivy Asset Strategy Fund CL Y	A	Dividend	J	T	Buy	03/19/13	J		
92. -JHancock US Eqty FD I	A	Dividend	L	T	Buy	03/18/13	K		
93. -Oppenheimer Steelpath MLP Alpha Y	A	Dividend	J	T	Buy	03/18/13	J		
94. -PIMCO All Asset All Authority CL D	A	Dividend	J	T	Buy	03/18/13	K		
95.					Buy	03/28/13	J		
96.					Sold (part)	06/21/13	J		
97. -PIMCO All Asset All Authority CL Inst	A	Dividend	K	T	Buy	03/19/13	J		
98. -PIMCO Fundamental Index Plus AR FD CL D	A	Dividend	J	T	Buy	04/08/13	J		
99. -PIMCO Global Multi Asset CL D	A	Dividend	J	T	Buy	03/18/13	K		
100. -PIMCO Global Multi Asset CL Inst	A	Dividend	K	T	Buy	03/26/13	J		
101. -RS Global Natural Resources FD CL Y		None	J	T	Buy	03/18/13	J		
102. -Schwab Fundamental Emer Mkt Large Co Index	A	Dividend	J	T	Buy	03/18/13	J		

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103.					Buy (add'l)	03/26/13	J		
104.					Buy (add'l)	06/27/13	J		
105.					Sold (part)	11/01/13	J	A	
106. -Schwab Fundamental Intl Large Co Index	A	Dividend	K	T	Buy	03/18/13	J		
107.					Buy (add'l)	03/19/13	J		
108.					Buy (add'l)	03/26/13	J		
109.					Buy (add'l)	03/28/13	J		
110.					Buy (add'l)	04/08/13	J		
111.					Sold (part)	11/07/13	J	A	
112. -Wells Fargo Advtg Abslt Return Admin	A	Dividend	K	T	Buy	03/18/13	K		
113.					Buy (add'l)	03/26/13	J		
114. -IQ US Real Estate ETF Small Cap	A	Dividend	J	T	Buy	03/20/13	J		
115. -iShares Gold Trust		None	J	T	Buy	03/18/13	J		
116. -iShares Silver Trust Index Fund		None	J	T	Buy	10/31/13	J		
117.					Buy	10/31/13	J		
118. -Plum Creek Timber Co REIT	A	Dividend	J	T	Buy	03/18/13	J		
119. -Powershs Exch Trad FD TR Powershares Water Resource Portfolio	A	Dividend	J	T	Buy	03/18/13	J		

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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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)
120.					Buy (add'l)	03/18/13	J		
121.					Buy (add'l)	03/28/13	J		
122. -Rayonier Inc REIT	A	Dividend	J	T	Buy	03/18/13	J		
123.					Sold (part)	10/28/13	J		
124.					Buy (add'l)	12/18/13	J		
125. -Vanguard DIV Appreciation	A	Dividend	K	T	Buy	03/18/13	K		
126. -AQR Managed Futures		None			Buy	03/18/13	J		
127.					Buy (add'l)	04/25/13	J		
128.					Buy (add'l)	05/24/13	J		
129.					Sold (part)	11/08/13	J		
130.					Sold	11/08/13	J		
131. -Arbitrage Fund		None			Buy	03/18/13	J		
132.					Sold	05/01/13	J		
133. -AQR Diversified Arbitrage		None			Buy	03/18/13	J		
134.					Sold	05/01/13	J		
135. -Emerging Market ETF		None			Buy	03/28/13	J		
136.					Sold	11/07/13	J		

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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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)
137. -Equinox Frontier		None			Buy	03/18/13	J		
138.					Buy (add'l)	04/25/13	J		
139.					Sold (part)	10/03/13	J		
140.					Sold	10/03/13	J		
141. -Claymore Timber ETF		None			Buy	10/28/13	J		
142.					Sold	12/17/13	J		

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

Note 1: To Part VII, #27: the asset listed here as "Vanguard (IRA)" is the same asset as that listed in the CY 2012 report as "Vanguard IRA #1", line 24.

Note 2: To Part VII, #41: this account belongs [REDACTED] opened it last year with funds transferred from [REDACTED] Vanguard IRA. The account was not listed in CY 2012 because it is a new account.

Note 3: To Part VII, #4: the asset listed here as "BA CA N.A. RASP" is the same asset as that listed in the CY 2012 report as "ML Retirement Reserves Fund", line 4. The asset "BA CA N.A. RASP" was combined in the CY 2012 report with "ML Retirement Reserves Fund" now known as "BA CA N.A. RASP".

Note 4: To Part VII, #5: the asset listed here as "FIA Card Services NA RASP" is the same asset as that listed in the CY 2012 report as "ML Retirement Reserves Fund", line 4. The asset "FIA Card Services NA RASP" was combined in the CY 2012 report with "ML Retirement Reserves Fund" now known as "FIA Card Services NA RASP".

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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/ Pat E. Morgenstern-Clarren

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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