

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012**

*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.	2. Court or Organization CT BANKRUPTCY COURT	3. Date of Report 10/09/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 915 LAFAYETTE BOULEVARD BRIDGEPORT, CT 06604		
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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.	CAPITAL ONE BANK	UNSECURED CREDIT CARD	J
2.	MORGAN STANLEY	MARGIN LOAN & EXPRESS CREDIT LINE	N
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	A	Interest	O	T					
2. PEOPLES BANK		None	J	T					
3. IBM	D	Dividend	O	T	Buy (add'l)	12/31/12	J		
4. IBM	E	Dividend	P1	T					
5. AT&T	B	Dividend	K	T					
6. INTEL	D	Dividend	M	T					
7. THE TORRAY FUND	C	Dividend	M	T					
8. VANGUARD PRIM MONEY MKT FUND	A	Dividend	K	T					
9. VANGUARD 500 INDEX FUND ADM	D	Dividend	N	T					
10. VANGUARD INTERNATIONAL GROWTH INV	A	Dividend	K	T					
11. VANGUARD EXTENDED MKT INDEX ADM	A	Dividend	K	T					
12. GENERAL ELECTRIC	B	Dividend	L	T					
13. BLACKROCK GLOBAL ALLOCATION (IRA)	B	Distribution	L	T					
14. VANGUARD (IRA)	D	Distribution	J	T					
15. THE TORRAY FUND IRA	A	Dividend	L	T					
16. FID EQ DIV INCM	A	Dividend	K	T					
17. EATON VANCE TAX MANAGED BUY WRITE OPPORTUNITIES FD	B	Dividend	M	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 = \$250,000.01 - \$500,000.00	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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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)

18. EATON VANCE TAX MNG GLOBAL BUY-WRITE OPP. FD.	A	Dividend			Sold	09/20/12	L		
19. EATON VANCE TAX MANAGED DIVERSIFIED EQUITY INCOME FD	A	Dividend			Sold	08/22/12	L		
20. EATON VANCE TAX MANAGED GLOBAL DIVERSIFIED EQUITY INCOME FD	C	Dividend	L	T					
21. EATON VANCE RISK MANAGED DIVERSIFIED EQUITY INCOME FD	B	Dividend	M	T					
22. EATON VANCE TAX MGD DIV EQU FD	B	Dividend	L	T	Buy	08/22/12	L		
23. EATON VANCE ENHANCED EQ INCM	B	Dividend	M	T	Buy (add'l)	10/01/12	M		
24. EATON VANCE TAX MANAGED DIVERSIFIED EQUITY INCOME FD	A	Dividend	M	T					
25. ING GLOBAL ADVANTAGE & PREM FUND	D	Dividend	K	T	Sold (part)	10/01/12	K		
26. LINCOLN NATIONAL LIFE INS CO (PENSION)	E	Distribution	N	T					
27. CBS	A	Dividend	K	T					
28. VIACOM	A	Dividend	K	T					
29. COMCAST	A	Dividend	K	T					
30. CENTURY LINK	A	Dividend	J	T					
31. NFJ DIVIDEND INTEREST & PREMIUM STRATEGY FD	D	Dividend	M	T					
32. MORGAN STANLEY/ SMITH BARNEY M.M. (Y)									

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.)*

In response to the Judicial Conference of the United States Committee on Financial Disclosure's letter of inquiry dated September 18, 2013 on my annual financial disclosure report for 2012, please note the following:

2012 Financial Disclosure Report, Part VII, Page 5, line 18 – EATON VANCE TAX MNGD GLBL is the same fund as EATON VANCE TAX MNG GLOBAL BUY-WRITE OPP. FD. The corresponding NYSE ticker symbol is ETW. I have made the corresponding name change to match the 2011 report.

2012 Financial Disclosure Report, Part VII, page 5, line 24 – EATON VANCE TAX MG CEF is the same fund as Line 19, EATON VANCE TAX MANAGED DIVERSIFIED EQUITY INCOME FD. This fund was reported on the 2011 financial disclosure report on page 5, line 21 EATON VANCE TAX MNG. DIV EQ. INC. FD. The corresponding NYSE ticker symbol is ETY. I have made the corresponding name change to match the 2011 report.

2012 Financial Disclosure Report, Part VII, page 5, line 29 – COMCAST was purchased on December 20, 2010 and was inadvertently omitted on the 2010 and 2011 financial disclosure reports.

2012 Financial Disclosure Report, Part VII, page 5, line 30 – CENTURYLINK was purchased on April 6, 2011 and was inadvertently omitted on the 2011 financial disclosure report.

2011 Financial Disclosure Report, Part VII, page 4, line 11 – MORGAN STANLEY/ SMITH BARNEY M.M. is a money market bank account that had a balance in 2011. In 2012, there was no balance and thus nothing to report. I have added line 32 to Part VII, page 5 to include this asset with a parenthetical "(Y)".

I am hopeful that this response and revised report satisfies the Committee's letter of inquiry on the 2012 financial disclosure 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: s/ ALAN H. SHIFF

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