

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) BERNSTEIN, STUART M.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/9/2014
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 United States Bankruptcy Court One Bowling Green New York, New York 10004		
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.	Director	
2.	Trustee	Trust # 1
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	St. John's Law School Teaching	\$7,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	-- Law firm compensation
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. American Bankruptcy Institute	9/27/2013	Georgetown Law School, Washington, D.C.	Participation in seminar: "Views From the Bench"	Transportation
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.		
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Name of Person Reporting

BERNSTEIN, STUART M.

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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. 401K Plan	D	Dividend	N	T					
2. Partners Defined Contrib. Plan	C	Dividend	M	T					
3. JP Morgan Chase Bank Accounts	A	Interest	M	T					
4. Citibank Accounts	A	Interest	O	T					
5. Citibank Account	A	Interest	M	T					
6. Citibank Account	A	Interest	K	T					
7. Keogh (Target) Plan--Plan I	E	Int./Div.	O	T					
8. Common-The Phoenix Companies		None	J	T					
9. Phoenix Life Insurance (Whole Life)	A	Interest	L	T					
10. Defined Benefit Trust--Qualified Plan II		None							
11. Non-Deductible Contribution Plan III (Capital "C" Account)		None	N	T					
12. Capital "A" Account	E	Interest	O	T					
13. Schwab Money Market Funds	A	Int./Div.	N	T					
14. Bond Fund of America	C	Dividend			Sold (part)	02/28/13	M		
15.					Sold	06/03/13	N		
16. PIMCO Foreign Bond (Hedged)-D	E	Dividend	O	T	Sold (part)	05/29/13	M		
17. Metropolitan West Total Return Bond Fund	E	Dividend	O	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000 R = More than \$5,000,000	M = \$100,001 - \$250,000 P = \$250,000.001 - \$500,000.000	Q = \$500,001 - \$1,000,000 R = More than \$1,000,000
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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18. Pimco High Yield, Class D	E	Dividend	O	T	Sold (part)	06/21/13	N		
19.					Sold (part)	06/24/13	M		
20. DWS Intermediate Tax/AMT Free Fund Class S	D	Dividend			Sold (part)	06/12/13	K		
21.					Sold	07/10/13	N		
22. American Funds Capital Income Builder	E	Dividend	O	T	Buy (add'l)	10/25/13	M		
23.					Sold (part)	06/20/13	N		
24. Permanent Portfolio		None			Sold (part)	04/16/13	M		
25.					Sold	05/14/13	N		
26. Ivy Municipal High Income Fund	E	Dividend	O	T	Sold (part)	06/20/13	M		
27.					Sold	06/24/13	M		
28.					Buy	09/26/13	N		
29. Rydex Inverse Gov't Long Bond		None			Buy	05/30/13	N		
30.					Buy (add'l)	06/21/13	M		
31.					Sold (part)	06/26/13	N		
32.					Sold	09/18/13	N		
33. Invesco Comstock Fund	C	Dividend	O	T	Buy	06/05/13	N		
34.					Buy (add'l)	07/18/13	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 = \$5,000,001 - \$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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35. T. Rowe Price Capital Appreciation	E	Dividend	O	T	Buy	03/01/13	N		
36.					Buy (add'l)	04/22/13	M		
37. FPA Crescent	E	Dividend	O	T	Buy	05/16/13	N		
38.					Buy (add'l)	07/11/13	M		
39. Rydex Consumer Products	E	Dividend	O	T	Buy	08/02/13	N		
40.					Buy (add'l)	09/12/13	N		
41. American High Income (IRA)	D	Dividend	M	T					
42. Bond Fund of America (IRA)	A	Dividend			Sold (part)	03/11/13	K		
43.					Sold	05/29/13	K		
44. Schwab Money Market Funds (IRA)	A	Int./Div.	M	T					
45. Dodge & Cox Income Fund (IRA)	B	Dividend			Sold	12/23/13	L		
46. Metropolitan West Total Return Bond Fund (IRA)	B	Dividend	K	T	Sold (part)	06/24/13	K		
47. PIMCO Total Return-D (IRA)	A	Dividend			Sold (part)	02/28/13	K		
48.					Sold	06/03/13	K		
49. PIMCO Foreign Bond (Hedged)-D (IRA)	B	Dividend	K	T	Sold (part)	06/24/13	K		
50. American Funds Capital Income Builder (IRA)	B	Dividend	K	T	Sold (part)	06/20/13	K		
51.					Buy	10/25/13	K		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold (part)	12/24/13	K		
53. Permanent Portfolio (IRA)		None			Sold (part)	04/16/13	K		
54.					Sold	05/14/13	K		
55. DoubleLine Total Return Bond (IRA)	B	Dividend			Sold	09/05/13	K		
56. Invesco Comstock Fund (IRA)	A	Dividend	K	T	Buy	07/18/13	L		
57.					Sold (part)	12/24/13	J		
58. T. Rowe Price Capital Appreciation (IRA)	C	Dividend	L	T	Buy	03/13/13	K		
59.					Buy (add'l)	03/28/13	K		
60. FPA Crescent (IRA)	B	Dividend	K	T	Buy	05/16/13	K		
61.					Buy (add'l)	06/06/13	K		
62.					Sold (part)	12/23/13	K		
63. Rydex Consumer Products (IRA)	B	Dividend	K	T	Buy	08/02/13	K		
64.					Buy (add'l)	09/12/13	K		
65.					Sold (part)	12/24/13	K		
66. American High Income (IRA)	C	Dividend	K	T	Sold (part)	06/21/13	K		
67.					Sold (part)	06/24/13	K		
68.					Sold (part)	12/24/13	K		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. Loomis Sayles Bond (IRA)	B	Dividend	L	T	Buy	10/23/13	L		
70. Rydex Inverse Gov't Long Bond (IRA)		None			Buy	05/30/13	K		
71.					Buy (add'l)	06/21/13	K		
72.					Buy (add'l)	08/02/13	J		
73.					Buy (add'l)	10/16/13	K		
74.					Sold (part)	06/26/13	K		
75.					Sold (part)	09/18/13	K		
76.					Sold	10/17/13	K		
77. Trust # 1	A	Interest	K	T					
78. - JP MorganChase Bank Account									
79. -John Hancock Life Insurance Policy									
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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
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Name of Person Reporting

BERNSTEIN, STUART M.

Date of Report

05/9/2014

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

All information and explanations relate to Part VII:

GENERAL COMMENTS

1. Where the asset was purchased, sold or held in an IRA, "IRA" is noted parenthetically in the "Description of Assets."
2. Where multiple purchases or sales of an asset were made during the year, the aggregate amount of income, if any, and value (if still held at the end of the reporting period) are reported on the first line on which the asset is listed.

SPECIFIC COMMENTS

Lines 1 and 2: These are pension plans. Contributions were made during 2013 to the 401 K (line 1) but not to the Partners Defined Contribution Plan (line 2).

Line 7: The participant in this Keogh account makes annual contributions, but there is no specific account in the participant's name. The value and income reflected on Part VII represent the participant's allocable share of the value and income of the Keogh account. There are also sale transactions in the Keogh account that generate gains and/or losses. These gains and/or losses are reflected in the value of the participant's allocable portion.

Line 10: This entry relates to a Defined Benefit Trust-Qualified Plan II. Upon vesting, there will be a right to an annuity, but the value of that annuity is not presently calculable. The participant did not make a contribution during 2013, but a contribution on the participant's behalf was made by the participant's firm.

Line 11: The participant did not make a contribution to the participant's Capital "C" account in 2013, but the participant's firm made a contribution on the participant's behalf.

Line 12: No contributions were made to the Capital "A" account in 2013.

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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/ STUART M. BERNSTEIN

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