

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) Gropper, Allan L.	2. Court or Organization US Bankruptcy Court	3. Date of Report 08/21/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 US Bankruptcy Court, Alexander Hamilton Custom House, 1 Bowling Green, NY, NY 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.	Trustee	The Browning School
2.	Treasurer and Member of Executive Committee	Association of the Bar of the City of New York
3.	Treasurer and Member, Board of Directors	Association of the Bar of the City of New York Fund, Inc.
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.	1/1/00	White & Case LLP Retirement Income Plans (former law firm; no control)
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. 2012	Fordham Law School (teaching)	\$5,000
2. 2012	Retirement income from White & Case LLP Retirement Income Plan	\$41,517
3. 2012	INSOL International (teaching)	\$1,506.00
4. 2012	White & Case Unfunded Pension Plan	\$98.00

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. 2012	Columbia University (salary)
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. INSOL International	05/18/2012-05/21/2012	Miami, FL	Seminar and program	Transportation, meals, lodging
2. International Insolvency Institute	05/30/2012-05/31/2012	Toronto, Ontario, Canada	Seminar and program	Transportation, meals, lodging
3. International Insolvency Institute	06/20/2012-06/22/2012	Paris, France	Seminar and program	Transportation, meals, lodging
4. INSOL International	10/03/2012-10/05/2012	Cartagena, Colombia	Seminar and program	Transportation, meals, lodging
5. C5 Communications Ltd.	10/21/2012-10/22/2012	Miami, FL	Seminar and program	Transportation, meals, lodging
6. National Conference of Bankruptcy Judges	10/24/2012-10/26/2012	San Diego, CA	Seminar and program	Transportation, meals, lodging

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Chase Manhattan Bank Account	A	Interest	J	T					
2. Brandywine Fund Inc.		None			Sold	03/05/12	L	E	
3. Keybank	A	Interest	L	T					
4. DNG Acquisition Group LLC		None	J	U					
5. Sheridan Properties I, LLC	A	Distribution	J	U					
6. Sheridan Equity Partners		None	J	U					
7. JP Morgan Bank Account	A	Interest			Merged (with line 1)	09/01/12	J		
8. Trust u/w/o [REDACTED]	F	Int./Div.	O	T					
9. -US Treasury Notes									
10. - Allstate Corp. stock					Sold (part)	10/18/12	J	D	
11. - Exxon Mobil Corp. stock									
12. - General Mills stock									
13. - Goodrich Corp. stock					Sold	07/27/12	J	D	
14. - NYS Environmental Facs Corp. Bond									
15. - Royal Dutch Petroleum stock									
16. - Tax Exempt Securities Trust					Sold (part)	05/15/12	J		
17. -Tax Exempt Securities Trust					Sold (part)	12/21/12	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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18. -Vanguard Tax Managed Balanced Fund									
19. - Worldwide Golf Resources stock									
20. - Nassau County Swr Fin Auth Bond									
21. -Vanguard Life Strategy Inc. Fund									
22. -Loneleaf Partners Inc. Fund					Sold (part)	06/06/12	K	D	
23. -Loneleaf Partners Inc. Fund					Sold (part)	07/24/12	J	B	
24. -Loneleaf Partners Inc. Fund					Sold (part)	08/24/12	J	B	
25. -Loneleaf Partners Inc. Fund					Sold (part)	09/24/12	J	B	
26. -Loneleaf Partners Inc. Fund					Sold (part)	10/24/12	J	B	
27. -Loneleaf Partners Inc. Fund					Sold (part)	11/26/12	J	B	
28. -Loneleaf Partners Inc. Fund					Sold (part)	12/24/12	J	B	
29. - Bay Shore NY School Dist Bond									
30. - Met. Transp. Auth 5.25% Bond									
31. - NYC Ser C-1 5.25% Bond									
32. - NYC Ser C-1 5.25% Bond									
33. - NYC Ser E 5.0% Bond									
34. - NYC Ser K 4.0% Bond									

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)

35. - South Huntington NY Sch Dist Bond					Redeemed	05/15/12	K	A	
36. -Vanguard Index Fund Short Term									
37. - Vanguard World Utilities									
38. -Vanguard Whitehall High Dividend Fund					Buy	03/23/12	K		
39. -Vanguard Energy Fund					Buy	12/11/12	K		
40. -Vanguard Energy Fund					Buy (add'l)	12/18/12	J		
41. -NYC Health Hosp Corp Rfdg Ser A									
42. -Wisconsin St. Rfdg Ser 1									
43. -Tilson Dividend Fund									
44. -PIMCO Unconstrained Bond Fund									
45. -PIMCO All Asset All Authority Fund					Buy	08/02/12	K		
46. -PIMCO All Asset All Authority Fund					Buy (add'l)	10/09/12	J		
47. -FPA Crescent Portfolio Fund									
48. -Vanguard Life Income Fund					Sold (part)	12/18/12	J	A	
49. -Clarence NY Cent Sch Dist Series B 4.375%					Buy	05/18/12	K		
50. -NYC Ser N 5.0% Bond					Buy	05/02/12	J		
51. Pershing LLC Fund (FDIC Insured Bank Deposits)	A	Dividend	L	T					

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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. Exxon Mobil Corp. stock	C	Dividend	M	T	Sold (part)	05/30/12	K	D	
53. Allstate Corp. stock	A	Dividend	K	T					
54. Brown Forman stock	B	Dividend	K	T					
55. Costco Wholesale Corp stock	B	Dividend	K	T					
56. Johnson & Johnson stock	A	Dividend	K	T					
57. Vanguard Health Care Fund	A	Dividend	K	T					
58. Vanguard Dividend Growth Income Fund	B	Dividend	L	T					
59. Vanguard Tax Managed Small Cap Fund	A	Dividend	M	T	Sold (part)	01/09/12	J	A	
60. Vanguard Tax Managed Small Cap Fund	A	Dividend	M	T	Sold (part)	02/07/12	J	B	
61. Vanguard Total International Fund	B	Dividend	L	T	Sold (part)	04/16/12	J	A	
62. Vanguard Index Fund-Short Term	A	Dividend	K	T					
63. Vanguard High Yield Corp. Fund	B	Dividend	K	T					
64. Vanguard Wellesley Income Fund	A	Dividend	K	T	Sold (part)	04/16/12	K	B	
65. PIMCO Unconstrained Bond Fund	B	Dividend	K	T					
66. Amherst NY Rfdg Bond	B	Interest	K	T					
67. Elwood NY Sch Dist Bond	A	Interest			Redeemed	12/03/12	J		
68. NYC Series G 5.35% Bonds	B	Interest			Redeemed	08/01/12	K	A	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. NYS Dorm. Auth Fin. Authority Bonds	B	Interest	J	T					
70. NYC Transitional Finance Auth Bonds	B	Interest			Redeemed (part)	04/04/12	K	B	
71. NYC Transitional Finance Auth Bonds	B	Interest			Redeemed	08/01/12	J	A	
72. Riverhead NY Pub. Bond	A	Interest			Redeemed	06/01/12	J	A	
73. Sag Harbor NY Sch Dist Bond	A	Interest			Redeemed	06/15/12	K	A	
74. Berkshire Hathaway		None	K	T					
75. NYS Twy Auth Ser A 5.0%	B	Interest	K	T	Buy (add'l)	08/09/12	J		
76. Port Auth NY&NJ 4.25% Bond	A	Interest	J	T	Buy	11/08/12	J		
77. Port Auth NY&NJ 5.0% Bond	A	Interest	J	T	Buy	08/03/12	J		
78. Charles Schwab IRA	G	Int./Div.	P1	T					
79. -Schwab US Treas. Money Fund									
80. -Blackrock GNMA									
81. -Managers Bond Fund									
82. -Dodge & Cox Income Fund									
83. -DoubleLine Total Return Bond Fund									
84. -FPA New Income Fund									
85. -Rydex Long/Short Interest Rate Strategy					Sold	01/30/12	M		

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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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86. -Federated Strategic Income Fund					Buy	01/27/12	N		
87. -Ivy High Income Fund					Buy	01/18/12	N		
88. -Oakmark Equity & Income Fund					Buy	02/17/12	N		
89. -Oakmark Equity & Income Fund					Buy (add'l)	03/15/12	M		
90. - Vanguard STAR Fund									
91. - Vanguard Wellington Fund									
92. -Vanguard Growth & Income Fund									
93. - Vanguard Explorer Fund									
94. - Vanguard Equity Fund									
95. - Vanguard 500 Index Fund									
96. NYS 529 College Savings Account (no control)	A	Dividend	J	T					
97. -Mid-Cap Stock Index Portfolio									
98. -Small-Cap Stock Index Portfolio									
99. -Bond Market Index Portfolio									
100. Columbia Univ SIP	B	Dividend	N	T	Buy addtl	01/31/12	J		
101. Charles Schwab IRA	D	Int./Div.	N	T					
102. - Schwab US Treas. Money Fund									

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103. -American High Income Bond Fund									
104. -American High Income Bond Fund					Buy (add'l)	01/20/12	J		
105. -American High Income Bond Fund					Buy (add'l)	02/01/12	J		
106. -American Funds Capital Income Builder					Buy	02/17/12	K		
107. -American Funds Capital Income Builder					Buy (add'l)	03/23/12	J		
108. -Bond Fund of America									
109. -Federated Bond Fund									
110. -ICON Materials Fund Class S					Buy	09/20/12	K		
111. -ICON Materials Fund Class S					Sold	11/15/12	K		
112. -Loomis Sayles Bond Fund					Buy (add'l)	11/28/12	J		
113. -Metropolitan West Total Return Bond Fund									
114. -PIMCO Foreign Bond D									
115. -PIMCO Total Return D									
116. -Gateway Index Plus Fund									
117. -Rydex Healthcare Fund									
118. -Rydex Leisure Fund					Buy	03/13/12	K		
119. -Rydex Leisure Fund					Buy (add'l)	07/18/12	J		

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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. -Rydex Leisure Fund					Buy (add'l)	11/29/12	J		
121. -Rydex Transportation Fund					Buy	12/04/12	J		
122. -Rydex Transportation Fund					Buy (add'l)	12/18/12	J		
123. -Rydex Inverse High Yield Strategy H					Buy	06/01/12	K		
124. -Rydex Inverse High Yield Strategy H					Buy (add'l)	10/26/12	K		
125. -Rydex Inverse High Yield Strategy H					Buy (add'l)	11/15/12	J		
126. -Rydex Inverse High Yield Strategy H					Sold (part)	07/03/12	J		
127. -Rydex Inverse High Yield Strategy H					Sold	12/17/12	K		
128. -DWS High-Yield Fund									
129. -Cohen & Steers Realty Shares					Buy	01/09/12	K		
130. -Cohen & Steers Realty Shares					Buy (add'l)	01/25/12	J		
131. -Cohen & Steers Realty Shares					Buy (add'l)	02/06/12	J		
132. -Cohen & Steers Realty Shares					Sold (part)	05/18/12	J	A	
133. -Cohen & Steers Realty Shares					Sold (part)	11/29/12	J	A	
134. -DoubleLine Total Return Bond Fund					Buy	04/20/12	K		
135. -Permanent Portfolio Fund					Buy	02/01/12	J		
136. -Permanent Portfolio Fund					Buy (add'l)	09/06/12	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. -JP Morgan Core Plus Bond Fund A					Sold	09/14/12	K	B	
138. -Franklin Gold & Precious Metals A					Buy	05/25/12	J		
139. -Franklin Gold & Precious Metals A					Sold	07/23/12	J		
140. -Franklin Utilities Series CI A					Buy	05/16/12	K		
141. -Franklin Utilities Series CI A					Buy (add'l)	06/18/12	J		
142. -Franklin Utilities Series CI A					Buy (add'l)	07/26/12	J		
143. -Franklin Utilities Series CI A					Sold (part)	09/17/12	J	A	
144. -Franklin Utilities Series CI A					Sold	11/12/12	J		
145. -Schwab U.S. Broad Market ETF					Buy	08/15/12	K		
146. -Schwab U.S. Broad Market ETF					Buy (add'l)	09/14/12	J		
147. -iShares DJ US IDX Transportation					Buy	02/13/12	K		
148. -iShares DJ US IDX Transportation					Sold	05/18/12	K		
149. -iShares Gold Trust					Buy	01/11/12	K		
150. -iShares Gold Trust					Buy (add'l)	02/02/12	J		
151. -iShares Gold Trust					Sold (part)	03/06/12	J	A	
152. -iShares Gold Trust					Sold	05/09/12	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.)*

Part VII, Line 100 These are monthly contributions to a SIP account by automatic deductions from a paycheck. No further information is available.

Note: In my 2011 report, line 165 showed "Sold (part)" of the DireXion HY Bear Fund. The entry should have showed "Sold".

Part VII, page 6, line 51 In response to the Committee's letter dated August 1, 2013, this line has been amended to disclose the brokerage firm with control over the fund and the investments in it. I have no control over the investments.

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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/ Allan L. Gropper

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544