

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) SHIFF, ALAN H.	2. Court or Organization CT BANKRUPTCY COURT	3. Date of Report 07/31/2014
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 01/01/2013 to 12/31/2013
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.)

	<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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

SHIFF, ALAN H.

Date of Report

07/31/2014

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.

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

SHIFF, ALAN H.

Date of Report

07/31/2014

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	J
3.	WRP INVESTMENTS	MARGIN LOAN	N
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

SHIFF, ALAN H.

Date of Report

07/31/2014

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	J	T					
2. WELLS FARGO	A	Interest	M	T					
3. IBM	D	Dividend	O	T	Buy (add'l)	12/31/13	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	N	T					
8. VANGUARD PRIM MONEY MKT FUND		None	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	B	Dividend	M	T	Buy (add'l)	01/04/13	L		
12. GENERAL ELECTRIC	B	Dividend	L	T					
13. BLACKROCK GLOBAL ALLOCATION (IRA)	A	Distribution	L	T					
14. VANGUARD (IRA)		None	M	T	Buy (add'l)	12/20/13	L		
15. THE TORRAY FUND IRA		None	L	T					
16. FID EQ DIV INCM	A	Dividend	K	T					
17. CITIBANK	A	Interest	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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

SHIFF, ALAN H.

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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 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 MANAGED BUY WRITE OPPORTUNITIES FD	B	Dividend			Sold	12/26/13	M		
19. EATON VANCE TAX MANAGED GLOBAL DIVERSIFIED EQUITY INCOME FD	B	Dividend	M	T					
20. EATON VANCE RISK MANAGED DIVERSIFIED EQUITY INCOME FD	B	Dividend			Sold	12/26/13	M		
21. EATON VANCE TAX MANAGED DIVERSIFIED EQUITY INCOME FUND	D	Dividend	L	T	Buy (add'l)	04/18/13	K		
22. EATON VANCE TAX MANAGED DIVERSIFIED EQUITY INCOME FUND		None			Sold (part)	12/26/13	L		
23. EATON VANCE ENHANCED EQ INCM	C	Dividend	M	T					
24. EATON VANCE TAX MANAGED DIVERSIFIED EQUITY INCOME FD	A	Dividend	M	T					
25. ING GLOBAL ADVANTAGE & PREM FUND		None			Sold	12/19/13	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		None			Sold	03/11/13	M		
32. T ROWE PRICE TAX FREE HIGH YIELD FD	A	Dividend	L	T	Buy	12/27/13	L		
33. THE OSTERWEIS STRATEGIC INCOME FD		None	M	T	Buy	12/27/13	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

SHIFF, ALAN H.

Date of Report

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34. TEMPLETON GLOBAL BOND ADVISOR CLASS		None	L	T	Buy	12/27/13	L		
35. PRIME FUND CAPITAL RESERVES		None	L	T	Buy	12/31/13	L		
36.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

SHIFF, ALAN H.

Date of Report

07/31/2014

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

SHIFF, ALAN H.

Date of Report

07/31/2014

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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