

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) FERGUSON, KATHRYN C.	2. Court or Organization UNITED STATES BANKRUPTCY COURT	3. Date of Report 05/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES BANKRUPTCY COURT JUDGE - FULL TIME	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 CLARKSON S. FISHER FEDERAL BUILDING 402 EAST STATE STREET TRENTON, NJ 08608		
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.	PRESIDENT	TRENTON FILM SOCIETY
2.	BOARD MEMBER	FRIENDS OF THE LAMBERTVILLE LIBRARY
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 10

Name of Person Reporting

FERGUSON, KATHRYN C.

Date of Report

05/14/2013

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. National Conference of Bankruptcy Judges	March 18-20, 2012	Miami, Florida	Judge's Association Mid-Year Meeting	Transportation, Lodging
2. National Conference of Bankruptcy Judges	October 23-28, 2012	San Diego, California	Judge's Association Annual Meeting	Transportation, Lodging
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

FERGUSON, KATHRYN C.

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05/14/2013

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

FERGUSON, KATHRYN C.

Date of Report

05/14/2013

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. US Savings Bonds		None	J	T					
2. Brinker Capital Inc: (H)									
3. Aberdeen Emerging Mkts Fund CL A	A	Int./Div.	J	T	Sold (part)	03/21/12	J	A	
4.					Sold (part)	10/10/12	J	A	
5.					Buy (add'l)	12/21/12	J		
6. Aston/River Road Independent Value N	A	Int./Div.	J	T	Sold (part)	03/21/12	J	A	
7.					Buy (add'l)	12/28/12	J		
8. Columbia Dividend Opportunity CL A	A	Int./Div.	J	T	Sold (part)	03/21/12	J	A	
9.					Sold (part)	10/10/12	J	A	
10.					Buy (add'l)	12/18/12	J		
11. Columbia Select Lrg Cap Growth CL A		None	J	T	Buy (add'l)	07/12/12	J		
12.					Sold (part)	10/10/12	J	A	
13. Delaware Value Fd CL A	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
14.					Buy (add'l)	12/24/12	J		
15. Doubleline Total RT Bond Fd CL N	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
16.					Buy (add'l)	12/31/12	J		
17. Driehaus Active Income Fund	A	Int./Div.	J	T	Sold (part)	10/10/12	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 H ~\$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 \$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 10

Name of Person Reporting

FERGUSON, KATHRYN C.

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05/14/2013

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 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.					Buy (add'l)	12/19/12	J		
19. Fidelity Intermediate Muni Income	A	Int./Div.	J	T	Sold (part)	07/12/12	J	A	
20.					Buy (add'l)	12/31/12	J		
21. Forward EM Corporate Debt Fund Investor	A	Int./Div.	J	T	Buy	03/21/12	J		
22. JP Morgan Tax Aware Real Rtn Select CL	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
23.					Buy (add'l)	12/03/12	J		
24. Leuthold Asset Allocation Fd	A	Int./Div.			Sold (part)	03/21/12	J	A	
25.					Buy (add'l)	06/21/12	J		
26.					Sold	07/12/12	J		
27. Listed Private Equity CL A	A	Int./Div.	J	T					
28. Merger Fund	A	Int./Div.	J	T	Sold (part)	03/21/12	J	A	
29.					Sold (part)	07/12/12	J	A	
30.					Sold (part)	10/10/12	J	A	
31.					Buy (add'l)	12/28/12	J		
32. Merk Hard Currency Fund Investor CL		None	J	T	Buy (add'l)	12/13/12	J		
33. MFS International Value Fund CL A	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
34.					Buy (add'l)	12/13/12	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

FERGUSON, KATHRYN C.

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05/14/2013

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)
35. Morgan Stanley Global Real Estate Port P	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
36.					Buy (add'l)	12/17/12	J		
37. Northern Intermed Tax Exempt Fund	A	Int./Div.	J	T	Buy (add'l)	12/19/12	J		
38. Pimco Emerging Markets CY CL D	A	Int./Div.			Buy (add'l)	02/29/12	J		
39.					Sold	03/21/12	J	A	
40. Ridgeworth Mid Cap Value Equity CL I	A	Int./Div.	J	T	Sold (part)	03/21/12	J	A	
41.					Sold (part)	10/10/12	J	A	
42.					Buy (add'l)	12/20/12	J		
43. Rivenorth Core Opportunity Fund	A	Int./Div.	J	T	Sold (part)	07/12/12	J	A	
44.					Sold (part)	10/10/12	J	A	
45.					Buy (add'l)	12/28/12	J		
46. RS Global Natural Resources CL A		None	J	T	Sold (part)	10/10/12	J		
47.					Buy (add'l)	12/24/12	J		
48. Spartan 500 Index FDAdvantage Class	A	Int./Div.	J	T	Sold (part)	03/21/12	J	A	
49.					Sold (part)	10/10/12	J	A	
50.					Buy (add'l)	12/14/12	J		
51. T Rowe Price Growth Stock Advisor CL		None	J	T	Buy (add'l)	07/12/12	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 \$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 7 of 10

Name of Person Reporting

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52.					Sold (part)	10/10/12	J	A	
53. T Rowe Price Intl Stock Advisor CL	A	Int./Div.	J	T	Sold (part)	10/10/12	J		
54.					Buy (add'l)	12/18/12	J		
55. TCW Dividend Focused Fund CL N	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
56.					Buy (add'l)	12/28/12	J		
57. TCW Small Cap Growth Class N		None	J	T	Buy (add'l)	07/12/12	J		
58.					Sold (part)	10/10/12	J		
59. Touchstone Focused Equity Fund Class A	A	Int./Div.	J	T	Sold (part)	10/10/12	J		
60.					Buy (add'l)	12/27/12	J		
61. Wasatch Emerging Markets Small Cap FD	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
62.					Buy (add'l)	12/27/12	J		
63. Wasatch Frontier Emerging Small Cos	A	Int./Div.	J	T	Buy	12/27/12	J		
64. Wasatch International Opportunities FD		None	J	T					
65. Wells Fargo Ultra Shrt Trm Muni CL A	A	Int./Div.	J	T	Sold (part)	10/10/12	J	A	
66.					Buy (add'l)	12/31/12	J		
67. Westcore Select		None			Sold (part)	03/21/12	J		
68.					Sold (part)	07/12/12	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
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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 8 of 10

Name of Person Reporting

FERGUSON, KATHRYN C.

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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.)

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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				
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69.					Sold	10/10/12	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
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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

FERGUSON, KATHRYN C.

Date of Report

05/14/2013

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

FERGUSON, KATHRYN C.

Date of Report

05/14/2013

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/ KATHRYN C. FERGUSON**

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
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Washington, D.C. 20544