

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) OWEN, RICHARD	2. Court or Organization US DISTRICT COURT S. DIST NY	3. Date of Report 06/28/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR DIST JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address US DISTRICT COURT 500 PEARL ST NY, NEW YORK 10007 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. Insert signature on last page.		

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. ALCATEL LUCENT		None	J	T					
2. AT&T	A	Dividend	J	T					
3. BLACKROCK INTERNATIONAL	A	Dividend	K	T					
4. DOW CHEMICAL	A	Dividend	J	T					
5. FIFTH THIRD BANCORP	A	Dividend	J	T					
6. CON ED	A	Dividend	K	T					
7. HEINZ	A	Dividend	J	T					
8. HERSHEY	A	Dividend	J	T					
9. HANESBRAND		None	J	T					
10. HOME DEPOT	A	Dividend	K	T					
11. INTEL	A	Dividend	K	T					
12. INTERPUBLIC		None	K	T					
13. JOHNSON & JOHNSON	A	Dividend	J	T					
14. KIMBERLY CLARK	A	Dividend	J	T					
15. LAZARD	B	Dividend	K	T					
16. LSI CORP		None	J	T					
17. MARSH & MCCLENNAN	A	Dividend	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 = \$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	

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18. MOTOROLA SOLUTIONS (FORMERLY MOTOROLA)		None	J	T					
19. MOTORS LIQUIDATION		None	J	T					
20. NEW WORLD BRANDS		None	J	T					
21. PROCTER AND GAMBLE	C	Dividend	M	T					
22. NY TIMES		None	J	T					
23. NUVEEN TRADEWINDS	B	Dividend	L	T					
24. SARA LEE	A	Dividend	J	T					
25. SOUTHERN CORP	A	Dividend	J	T					
26. US BANCORP	A	Dividend	J	T					
27. M&T (Formerly Wilmington)	A	Dividend	J	T					
28. NYC GO MUNI 5% 2024	A	Int./Div.	J	T					
29. NYC GO MUNI 5.25% 2027	A	Int./Div.	K	T					
30. NY STATE GO 4% 2020	A	Int./Div.	K	T					
31. MOTOROLA MOBILITY		None	J	T	Spinoff (from line 18)	01/07/11	J		
32. CORNING NYC 4% 2011	A	Int./Div.			Matured	11/15/11	K		
33. HILTON CSO NY 3.75% 2013	A	Int./Div.	K	T					
34. LI POWER 5.5% 2012	B	Int./Div.	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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35. NYC 5.25% 2012	B	Int./Div.	K	T					
36. NY LOCALGOVT 5% 4/18	B	Int./Div.	K	T					
37. NYC TRANS 5% 2013	B	Int./Div.	K	T					
38. NY DORM 5.25% 2020	B	Int./Div.	L	T					
39. NY THWY 3.75% 2012	A	Int./Div.	J	T					
40. OYSTER BAY 3.75 2014	A	Int./Div.	J	T					
41. RYE BROOK 3.375 2014	A	Int./Div.	J	T					
42. SOUTH HUNTINGTON 3.6 2011	A	Int./Div.			Matured	05/16/11	J		
43. SUFFOLK 3.6 2014	A	Int./Div.	J	T					
44. TOBACCO SETTLMT 5.5 2019	B	Int./Div.	L	T					
45. TOB SETTLMT 5 2012	A	Int./Div.	K	T					
46. W. BABYLON 4 2014	A	Int./Div.	J	T					
47. WHITE PL 4.25 2018	A	Int./Div.	K	T					
48. NYC 5 2013	A	Int./Div.	J	T					
49.									
50.									
51.									

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52.									
53.									
54.									
55.									
56.									
57.									

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

The asset NY NY 4.75% 8/25 was called away and is no longer in portfolio.

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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/ **RICHARD OWEN**

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