

**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) Oetken, James Paul	2. Court or Organization Southern District of New York	3. Date of Report 08/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District 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 40 Foley Square New York, NY 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.		

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Oetken, James Paul

Date of Report

08/14/2013

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.)*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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Oetken, James Paul

Date of Report

08/14/2013

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 8

Name of Person Reporting

Oetken, James Paul

Date of Report

08/14/2013

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. Cablevision Systems Corporation	D	Dividend	M	T					
2. Madison Square Garden, Inc.		None	K	T	Sold (part)	11/20/12	K	E	
3. General Electric	A	Dividend			Sold	01/13/12	J		
4. Hewlett-Packard Company (Y)									
5. NASDAQ Group Inc.	A	Dividend			Sold	01/13/12	J		
6. BlackRock Global Opportunities Equity Trust	A	Dividend	J	T					
7. American Funds Investment Co. of America	A	Dividend	L	T	Buy (add'l)	03/14/12	L		
8. Invesco Prime Interest Trust Fund (Inv Van Kamp Sr Loan Fund)	A	Dividend	J	T					
9. Vanguard 500 Index Fund	C	Dividend	M	T					
10. Invesco Van Kampen Dynamic Credit Opportunities Fund	A	Dividend	J	T					
11. Claymore Delta Global Agriculture UIT	A	Dividend			Sold	04/18/12	J	A	
12. HSBC Bank USA, N.A. Market Income CD	B	Interest			Sold	10/19/12	J	A	
13. ABM AMRO Income Plus Fund	A	Dividend	K	T					
14. EB Diversified Stock Fund		None	K	T					
15. Target Small Cap Value Portfolio Fund Class T (TASVX)	A	Dividend	J	T					
16. Vanguard Institutional Index Fund Institutional Plus Shares	A	Dividend	K	T					
17. Columbia Acorn USA New York 529 Fund Class B		None	M	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

Oetken, James Paul

Date of Report

08/14/2013

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18. Citibank N.A. cash accounts	A	Interest	L	T					
19. GE Interest Plus cash account	A	Interest	K	T					
20. Fieldpoint Private Bank and Trust cash account	A	Interest	K	T					
21. UBS Bank USA cash account	A	Interest	J	T					
22. AMC Networks Inc.		None	M	T	Sold (part)	05/09/12	L	E	
23. UNTS FT Pharm Select PRTF Series	A	Dividend	J	T					
24. UNTS FT Sr Loan Limited Duration Plus C/	A	Dividend	K	T					
25. FFTW Income Plus Fund	A	Dividend	K	T					
26. Hartford Midcap HLS 1A	A	Dividend	K	T					
27. MFS Inst Intl Equity	A	Dividend	K	T					
28. American Century Equity Growth Fund	A	Dividend	L	T	Buy	04/26/12	L		
29. JP Morgan Mid Cap Value Fund	A	Dividend	K	T	Buy	10/22/12	K		
30. Lord Abbett Alpha Strategy Fund		None	L	T	Buy	04/12/12	L		
31. Lord Abbett Value Opportunities Fund		None	K	T	Buy	02/08/12	K		
32. TransAmerica Multi Manager Alternative Strategies	A	Dividend	L	T	Buy	03/13/12	L		
33. Columbia Thermostat Fund	A	Dividend	L	T	Buy	01/24/12	L		
34. Blackrock Multi Asset Income Portfolio	B	Dividend	L	T	Buy	03/13/12	L		

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Oetken, James Paul

Date of Report

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35. American Century Strategic Inflation		None	L	T	Buy	05/09/12	L		
36. Delaware Dividend Income	A	Dividend	K	T	Buy	12/21/12	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Oetken, James Paul

Date of Report

08/14/2013

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Oetken, James Paul

Date of Report

08/14/2013

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/ James Paul Oetken**

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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