

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) PECK, ANDREW J.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 06/03/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time Magistrate 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 United States Courthouse 500 Pearl Street, Room 1370 New York, NY 10007-1312		
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. 1978-1995	Paul, Weiss, Rifkind, Wharton & Garrison Pension Plan
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 01/08/2013	Exterro (Teaching E-Discovery)	\$1,000.00
2. 01/30/2013	Legal Tech: ALM (Teaching E-Discovery)	\$1,500.00
3. 01/30/2013	Legal Tech: Huron Consulting (Teaching E-Discovery)	\$1,500.00
4. 01/31/2013	Legal Tech: Vaporstream (Teaching E-Discovery)	\$1,500.00
5. 02/19/2013	Federal Bar Association (Teaching E-Discovery)	\$1,500.00
6. 02/28/2013	RSA (Guidance) (Teaching E-Discovery)	\$1,500.00
7. 04/7/2013	Whittier Law School (Teaching E-Discovery)	\$1,500.00
8. 05/05/2013	IQPC (Teaching E-Discovery)	\$1,500.00
9. 05/08/2013	Inside Counsel Magazine (Teaching E-Discovery)	\$1,500.00
10. 05/09/2013	EDiscovery for Govt. Attorneys (Deloitte)(Teaching E-Discovery)	\$1,500.00
11. 05/21/2013	MER Conference (Teaching E-Discovery)	\$1,500.00
12. 06/11/2013	EDiscovery for Govt. Employees (Symantec) (Teaching E-Discovery)	\$1,500.00
13. 07/17/13	Today's General Counsel Magazine (Teaching E-Discovery)	\$1,500.00
14. 08/02/2013	Federation of Defense & Corp. Counsel (Teaching E-Discovery)	\$1,250.00
15. 08/14/2013	ESI Roundtable (Teaching E-Discovery)	\$1,500.00
16. 09/26/2013	Orange Legal Tech. (Teaching E-Discovery)	\$1,500.00
17. 10/01/2013	Sandpiper (Teaching E-Discovery)	\$1,500.00
18. 12/12/2013	D4 Discovery Webinar (Teaching E-Discovery)	\$1,400.00

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.)*

DATE	SOURCE AND TYPE
1. 01/01/2013	12/31/13 N.Y.C. Board of Education - Pension

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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.	ABA & Ave Maria Law School	1/21-1/25	Naples & Tampa, FL	Speaker - ABA & Ave Maria Law School Conf..	Transportation, Lodging & Meals
2.	Atlanta Federal Bar Association	2/18-2/19	Atlanta, GA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
3.	ABA, Guidance Software	2/26-3/1	San Francisco, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
4.	Duke Law School	3/7-3/8	Durham, NC	Duke Law Board of Visitors Mtg.	Transportation, Lodging & Meals
5.	ABA	3/19-3/24	Miami, FL	Speaker - ABA Conf.	Transportation, Lodging & Meals
6.	Whittier Law School	4/5-4/8	Los Angeles, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
7.	Duke Law School	4/19	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
8.	IQPC	5/4-5/7	San Diego, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
9.	Inside Counsel	5/7-5/8	Chicago, IL	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
10.	E-Discovery for Gov't Attorneys (Deloitte)	5/8-5/9	Washington, DC	Speaker E-Disc. Conf.	Transportation, Lodging & Meals
11.	Managing Electronic Records Conference	5/20-5/21	Chicago, IL	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
12.	Ediscovery for Government Employees	6/10-6/11	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
13.	Federation of Defense and Corporate Counsel	7/31-8/3	Colorado Springs, CO	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
14.	Corporate Ediscovery Forum	8/7-8/11	Minneapolis, MN	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
15.	ESI Roundtable	8/12-8/15	Birmingham, AL	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
16.	Orange Legal Technology	9/25-9/29	Salt Lake City, UT	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
17.	EDI	10/15-10/18	Santa Monica, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
18.	The Sedona Conference	11/6-11/8	Phoenix, AZ	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals

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19.	Duke Law School	11/14-11/16	Durham, NC	Duke Law Board of Visitors Mtg	Transportation, Lodging & Meals
20.	Georgetown University Law School	11/20-11/22	McLean, VA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals

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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. U.S. Treas.Bills/Notes & SvgsBonds	A	Interest	K	T					
2. NYS, NYC & NYS Subdivs. Bonds	E	Interest	O	T					
3. Bristol-Myers-Squib (Common Stock)	A	Dividend	K	T					
4. Century Telephone (Common Stock)	A	Dividend	J	T					
5. DWS N.Y. Tax Free Fund	E	Dividend	J	T					
6. Chase Bank	A	Interest	L	T					
7. DWS Strategic Value Fund (now DWS Equity Dividend Fund)	A	Dividend	J	T					
8. Eaton (Ireland) Common	D	Dividend	O	T					
9. American Express (Common Stock)	A	Dividend	K	T					
10. GLAXO (ADRs)	A	Dividend	J	T					
11. Citibank	A	Interest	L	T					
12. Dreyfus General NY Bond Fund	B	Interest	L	T					
13. N.Y.C. Teachers Retirement TDA	E	Interest	O	T					
14. Fidelity Puritan IRA	A	Interest	K	T					
15. Copeland (457) (IRA)	A	Interest	M	T					
16. Verizon (common)	A	Dividend	J	T					
17. Allstate Corp. (common)	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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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. Walt Disney Holding (Common)	A	Dividend	L	T					
19. Time Warner & Time Warner Cable (Common)	A	Dividend	J	T					
20. Putnam Growth Fund	A	Dividend	K	T					
21. Hewlett Packard (Common)	A	Dividend	J	T					
22. McDonald's (Common) (IRA)	A	Dividend			Sold	8/6/13	K	E	
23. Oracle (Common)	A	Dividend	K	T					
24. Pfizer (Common)	A	Dividend	J	T					
25. Schwab Vanguard Target Retire.Fund(IRA)	D	Interest	N	T					
26. Putnam Growth Fund (IRA)	A	Interest	K	T					
27. DWS Scudder S&P 500 Index Fund	A	Dividend	K	T					
28. Eaton Vance Government Obligation Fund	A	Dividend	J	T					
29. Seligman Communication Fund	A	Dividend	J	T					
30. Coca-Cola (Common)	A	Dividend	J	T					
31. PIMCO N.Y. Municipal Income Fund	A	Dividend	J	T					
32. ING Principal Protection Fund (IRA) (ING Corporate Leaders)	A	Dividend	K	T					
33. Zimmer Holdings	A	Dividend	J	T					
34. Microsoft	A	Dividend	K	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. Liberty Global & Liberty Media (Common)	A	Dividend	J	T					
36. Pioneer Municipal High Income	A	Dividend	K	T					
37. S&P Depository Receipt	A	Dividend	K	T					
38. Capitol One Bank	D	Interest	O	T					
39. Comcast	A	Dividend	J	T					
40. Discovery Communications	A	Dividend	J	T					
41. Direct TV	A	Dividend	J	T					
42. Sovereign Bank Account (Santander)	A	Interest	J	T					
43. TD Bank	A	Interest	J	T					
44. (Pimco) Total Return Annuity	A	Interest	K	T					
45. Fidelity 4 in 1 Fund	A	Interest	K	T					
46. Fidelity Asset Mgr.	A	Interest	K	T					
47. LOMTO Credit Union	D	Interest	O	T					
48. Fidelity VIP Strategic Income	A	Dividend	L	T					
49. Yacktman Fund	A	Dividend	L	T					
50. (Fidelity) Permanent Portfolio (IRA)	A	Interest			Sold	8/6/13	J	A	
51. Permanent Portfolio	A	Interest			Sold	8/6/13	J	A	

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52. Yacktman Focused Service Fund	A	Interest	J	T					
53. N.Y.C. IRA Funds	A	Dividend	L	T					
54. MS AAA NY Muni Money Market	A	Dividend	J	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ **ANDREW J. PECK**

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