

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) Batts, Deborah A.	2. Court or Organization Southern District of New York	3. Date of Report 05/07/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Senior Status)	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 500 Pearl Street Room 2510 New York, New York 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Professor	Fordham University School of Law
2. Board of Visitors	CUNY School of Law
3. Board of Managers	Havens Relief Fund Society
4. Co-Executor	Estate #1
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. 10/1/84	TIAA-CREF Retirement & Supplemental Annuity Contracts
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 04/12	Fordham University School of Law Salary	\$13,000.00
2. 6/12	Co-Executor Fee	\$2499.12
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council (FBC)	February 4- 13, 2012	Kona, Hawaii.	Panel Organizer at Winter Retreat	transportaion, food, lodging
2. U.S.Courts	June 5-8, 2012	New Paltz, New York	Panelist	transportation, food, lodging
3. U.S. Courts	June 11-13, 2012	Washington, DC	JCUS Defender Services Committee Member	transportation, food, lodging
4. U.S. Courts	September 24, 2012	Washington, D.C.	JCUS DSC Budget Sub-Committee	transportion, food
5. U.S. Courts	December 2-6, 2012	Naples, Florida	JCUS DSC Member	transportation, food, lodging

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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.	Chase	credit card	J
2.	Bank of America	credit card	K
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. TIAA-CREF	D	Int./Div.	N	T					
2. Estate #1		None	J	T	Distributed (part)	06/16/12	J		
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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 \$50,000,000	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part III-A

On June 16, 2012 I returned \$5,398.36 of the co-executor fee, as reported on my amended 2011 Report. Since I took senior status in 2012, there is no limit on my outside income, so the \$2,499.12 Co-Executor Fee allocated to 2012 is not a factor. Furthermore, I earned only \$13,000.00 teaching in 2012, so my outside earnings for 2012 would not exceed the \$26,955.00 amount anyway.

Part III-B I got married in 2011 and my spouse is a woman. . Since the federal government does not recognize my marriage, I checked " NONE".

Part VII

Morgan Stanley Smith Barney (IRA) was reported for the first (and last) time in 2011 because it was a full distribution. It did not exist in 2012. It was a money market account:AXA Moderate-Plus Allocation, Fund # 01174.

Line 2 Estate #1: I became co-executor after the filing of my 2010 Financial Disclosure Report and therefore it did not appear in prior Reports. Holdings were in Franklin Templeton Investments: Franklin U.S. Government Securities Fund- Class A; American Funds Washington Mutual Investors Fund - Class A; Janney Montgomery Scott Fixed Income - Bonds & Preferreds Municipal Bonds - Tax Exempt, General NY Municipal Money Market Fund; Wachovia Accounts. It was fully distributed by July 2012; the value in 2012 was less than \$15,000.00.

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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/ **Deborah A. Batts**

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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