

**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) Oetken, James Paul	2. Court or Organization Southern District of New York	3. Date of Report 7/25/2014
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 01/01/2013 to 12/31/2013
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.		

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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.		
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. Federal Bar Council CLE	2/16/13 - 2/23/13	Curacao	CLE programs (served on panel)	transportation, meals, hotel
2. Cornell University Law School	3/10/13 - 3/12/13	Ithaca, NY	Educational activities (spoke to faculty and students)	transportation, meals, hotel
3. University of Iowa	9/19/13 - 9/22/13	Iowa City, IA	Educational activities (spoke to faculty and students)	transportation, meals, hotel
4. Federal Bar Council CLE	10/25/13 - 10/27/13	Lenox, MA	CLE programs (served on moot court panel)	transportation, meals, hotel
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.)*

<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.		

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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. Cablevision Systems Corporation	D	Dividend	M	T	Sold (part)	12/18/13	M	A	
2. Madison Square Garden, Inc.		None	J	T	Sold (part)	05/01/13	K	E	
3. Hewlett-Packard Company (X)	A	Dividend	J	T					
4. BlackRock Global Opportunities Equity Trust	A	Dividend			Sold	12/18/13	J	A	
5. American Funds Investment Co. of America	A	Dividend	L	T	Buy (add'l)	12/18/13	J		
6. Invesco Prime Interest Trust Fund (Inv Van Kam Sr Loan Fund)	A	Dividend	J	T					
7. Vanguard 500 Index Fund	C	Dividend	M	T					
8. Invesco Van Kampen Dynamic Credit Opportunities Fund	A	Dividend			Sold	08/08/13	J	A	
9. ABM AMRO Income Plus Fund	A	Dividend	K	T					
10. EB Diversified Stock Fund		None	K	T					
11. Target Small Cap Value Portfolio Fund Class T (TASVX)	A	Dividend	J	T					
12. Vanguard Institutional Index Fund Institutional Plus Shares	A	Dividend	K	T					
13. JP Morgan USA New York 529 Fund Class B (formerly Columbia Acorn)		None	M	T					
14. Citibank N.A. cash accounts	A	Interest	L	T					
15. GE Interest Plus cash account	A	Interest	K	T					
16. Fieldpoint Private Bank and Trust cash account	A	Interest	K	T					
17. UBS Bank USA cash account	A	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. AMC Networks Inc.		None			Sold	08/08/13	L	E	
19. UNTS FT Pharm Select PRTF Series 37	A	Dividend			Sold	03/01/13	J	B	
20. UNTS FT Sr Loan Limited Duration Plus C/ E 38	A	Dividend			Sold	08/18/13	K	A	
21. FFTW Income Plus Fund	A	Dividend	K	T					
22. Hartford Midcap HLS 1A	A	Dividend	K	T					
23. MFS Inst Intl Equity	A	Dividend	K	T					
24. American Century Equity Growth Fund	A	Dividend	L	T	Buy (add'l)	12/18/13	K		
25. JP Morgan Mid Cap Value Fund	A	Dividend	L	T	Buy (add'l)	12/18/13	K		
26. Lord Abbett Alpha Strategy Fund		None	L	T	Buy (add'l)	12/18/13	J		
27. Lord Abbett Value Opportunities Fund		None	L	T	Buy (add'l)	12/18/13	J		
28. TransAmerica Multi Manager Alternative Strategies	A	Dividend	L	T	Buy (add'l)	12/18/13	J		
29. Columbia Thermostat Fund	A	Dividend	L	T	Buy (add'l)	12/18/13	J		
30. Blackrock Multi Asset Income Portfolio	B	Dividend	L	T	Buy (add'l)	12/18/13	K		
31. American Century Strategic Inflation		None	L	T	Buy (add'l)	12/18/13	K		
32. Delaware Dividend Income	A	Dividend	L	T	Buy (add'l)	12/18/13	K		
33. Ishares MSCI Japan Index Fund		None	K	T	Buy	05/01/13	K		

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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/ **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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