

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) Patterson, Jr., Robert P.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 05/11/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior)	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 U.S. District Court Chambers 2550, 500 Pearl St. 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. 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.)*

	<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.	John Hancock	Insurance Policy Loan	J
2.	National Life Insurance	Insurance Policy Loan	J
3.	New England Life (now Met Life)	Insurance Policy Loan	J
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. Vanguard Group (Keogh) Windsor II Fund	E	Dividend	O	T	Redeemed (part)	01/15/11	K		Partial mandatory redemption
2. Vanguard Group (Keogh) Int. Term Corp. Fund	E	Interest	N	T	Redeemed (part)	01/15/11	K		Partial mandatory redemption
3. Metropolitan Life Ins.	A	Dividend	J	T					
4. New Rochelle City 4% 9/1/03	B	Interest	K	T					
5. N.Y. State Env. Fac. 5.6% 9/15/13	A	Interest	J	T					
6. N.Y. State Env. Fac. 5.25% 6/15/14	B	Interest	L	T					
7. Otsego Cnty NY Indl. Dev. Agy 5.125% 11/1/12	C	Interest	L	T					
8. Orleans County, NY 4.9% 12/15/14	B	Interest			Redeemed	06/15/11	K	A	
9. Chase Bank IRA Cash Equivalent	A	Interest	J	T					
10. Chase Bank IRA Cash Equivalent	A	Interest	J	T					
11. Capital One Bank	A	Interest	J	T					
12. NY Money Fund Premier	B	Interest	M	T					
13. Copart, Inc. (Y)									
14. Dril-Quip Corp. CL-B (Y)									
15. Google, Inc. (Y)									
16. Ericsson L M Tel Co. (Y)									
17. Exxon Mobil Corp. (Y)									

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				
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18. IBM (Y)									
19. BGC Partners (Y)									
20. Medco Health Solutions (Y)									
21. Monster Worldwide, Inc. (Y)									
22. Questar Corp. (Y)									
23. Proctor & Gamble (Y)									
24. Teleflex Inc. (Y)									
25. Igene Biotechnology Inc. (WTS) (Y)									
26. New York NY for Prior Issues Due 8/1/13 (Y)									
27. New York NY GO BDS Bonds 2006J Due 6/1/21 (Y)									
28. New York ST DORM AUTH REVS Due 7/1/21 (Y)									
29. New York ST DORM AUTH REVS Due 7/1/15	C	Interest	L	T					
30. New York ST DORM AUTH REVS Due 2/15/27	C	Interest	L	T					
31. Triborough Bridge & Tunnel Auth Due 11/15/17	C	Interest	L	T					
32. New York City Transitional Due 11/1/28	B	Interest			Redeemed	11/01/11	L	A	
33. Metropolitan Transit Authority Due 1/1/29 (Y)									
34. New York ST TWY AUTH GEN BDS Due 1/1/30	A	Interest	K	T					

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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35. Digital Realty Trust (Y)									
36. Kimco Realty Corp. (Y)									
37. Molex Inc. (Y)									
38. Nucor Corp. (Y)									
39. Occidental Pete Corp. (Y)									
40. Rand Logistics Inc. (Y)									
41. QEP Resources (Y)									

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

In Section VII. Investments and Trusts, Assets marked with a (Y) in Column A were transferred to the Estate on/or about 4/25/11.

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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/ Robert P. Patterson, Jr.**

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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