

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) Koeltl, John G.	2. Court or Organization U.S.D.C. Southern District-NY	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 - Active	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 United States Courthouse 500 Pearl St. Room 1030 New York, New York 10007-1581		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. ADJUNCT LAW PROFESSOR	NY UNIVERSITY LAW SCHOOL
2. EXECUTOR (CO-EXECUTOR)	ESTATE
3.	
4.	
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.	
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. 2011	NEW YORK UNIVERSITY - TEACHING	\$20,000.00
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	February 19,2011 - February 26,2011	Cabos San Lucas, Mexico	Winter Bench and Bar Conference	Lodging, meals, and travel
2. The Sedona Conference	April 7,2011 - April 9,2011	Del Mar, California	13th Annual Sedona Conference on Complex Litigation	Lodging, meals and travel
3. American Bar Association	August 4,2011 - August 5,2011	Toronto,Canada	Annual Meeting	Lodging, meals and travel
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.	INSTITUTE FOR THE ADVANCEMENT OF THE AMERICAN LEGAL SYSTEM	ENGRAVED GLASS AWARD	\$543.00
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.	NY STATE COMMISSIONER OF TAXATION AND FINANCE	ESTATE - ESTIMATED NY STATE ESTATE TAX DUE	M
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. JOHNSON & JOHNSON - COMMON	D	Dividend	M	T	Donated (part)				
2. PFIZER INC. - COMMON	C	Dividend	L	T					
3. ROYAL DUTCH SHELL PLC - COMMON	C	Dividend	M	T					
4. AMERICAN GROWTH FUND OF AMERICA CL C - MUTUAL FUND		None			Sold	01/21/11	K		
5. FEDERATED KAUFMANN FUND CL C - MUTUAL FUND		None			Sold	09/13/11	L		
6. FRANKLIN INCOME FUND CL C - MUTUAL FUND	C	Dividend	L	T					
7. OPPENHEIMER INT'L BOND FUND CL C - MUTUAL FUND	A	Dividend			Sold	01/24/11	M		
8. OPPENHEIMER DEV. MARKETS FUND CL C - MUTUAL FUND	A	Dividend	L	T	Sold (part)	09/13/11	L	E	
9. CGM ADVISOR TARGETED EQUITY FUND CL C - MUTUAL FUND		None	J	T	Buy	01/21/11	J		
10. TEMPLETON GLOBAL BOND FUND CL C - MUTUAL FUND	D	Dividend	M	T	Buy	01/24/11	M		
11. LORD ABBETT ST DURATION INCOME FUND - MUTUAL FUND	A	Dividend	K	T	Buy	09/13/11	K		
12. MERRILL LYNCH FIA MONEY FUND - N.Y.,N.Y.	A	Interest	L	T	Buy (add'l)	12/31/11	L		Net Increase To MM Fund
13. N.Y. STATE MTG AGY BOND SER 80 5.10% DUE 10/01/17	C	Interest			Redeemed	10/24/11	K	C	
14. N.Y. STATE ENGY RESH BOND 5.5% DUE 01/01/21	C	Interest	L	T					
15. N.Y. STATE MTG ACRY REV BOND 5.05% DUE 10/01/17	C	Interest	J	T	Redeemed (part)	10/24/11	K		
16. N.Y. CITY MUN WTR BOND 5% DUE 06/15/29	B	Interest			Redeemed	07/25/11	L	A	
17. NY CITY CY TRANS BOND 5% DUE 05/01/31	B	Interest	K	T	Redeemed (part)	12/01/11	J	A	

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. N.Y. STATE SER C BOND 4.4% DUE 04/15/21	B	Interest	K	T					
19. N.Y. STATE NY SER F BOND 5.3% DUE 01/15/26	B	Interest	K	T					
20. N.Y. STATE DORM. AUTH. 4.75% REV ST JOHNS BOND DUE 07/01/28	B	Interest	K	T					
21. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/32	B	Interest	L	T					
22. NY NY CY TRANSTNL FIN ATRV BOND 5% DUE 02/01/33	B	Interest	L	T					
23. SUFFOLK CTY BOND 4.125% DUE 11/01/21	B	Interest	L	T					
24. DUTCHESS CTY BOND 4.5% DUE 08/01/26	B	Interest	L	T					
25. ST. LAWRENCE CTY BOND 4.25% DUE 05/15/28	B	Interest	L	T					
26. NEW YORK NY SUBSER SER I-1 4.125% DUE 02/01/23	C	Interest			Sold	09/13/11	L	C	
27. NY ST DORM AT RV ST BOND 5% DUE 02/15/24	B	Interest	L	T					
28. EAST HAMPTON NY BOND 4% DUE 06/15/25	B	Interest			Sold	12/08/11	K	A	
29. NY ST DORM AT RV ST BOND 5% DUE 02/15/27	B	Interest	L	T					
30. NEW YORK ST URBAN DEV BOND 4.25% DUE 03/15/27	B	Interest	L	T					
31. NEW YORK ST HFA PERS INC BOND 5% DUE 09/15/30	B	Interest	K	T					
32. NEW YORK NY SUBSER SER C-1 BOND 4.5% DUE 10/01/23	B	Interest	K	T					
33. N.Y. STATE DORM. AUTH. REV MEM SLOAN BOND 5% DUE 07/01/26	B	Interest	K	T					
34. TRIBOR. BRIDGE & TUNNEL BOND 4.75% DUE 11/15/30	B	Interest	L	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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35. NEW YORK NY SUBSER J-1 BOND 5% DUE 05/15/31	B	Interest	L	T					
36. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/32	B	Interest	K	T					
37. N.Y. CITY MUN WTR BOND 5% DUE 06/15/34	C	Interest	L	T					
38. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/36	B	Interest	L	T					
39. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/37	C	Interest	L	T					
40. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/37	C	Interest	L	T					
41. N.Y. CITY MUN WTR BOND 5% DUE 06/15/38	B	Interest	L	T					
42. N.Y. STATE HSG FIN AGY BOND 4.9% DUE 11/01/38	B	Interest	L	T					
43. N.Y. CITY MUN ATR BOND 4.5% DUE 06/15/39	C	Interest	M	T					
44. LONG ISLAND PWR AUTH NY BOND 4.25% DUE 05/01/33	B	Interest	K	T					
45. THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29		None	L	T	Buy	09/13/11	L		
46. N.Y. STATE CLN-DRNG WTR BOND 5% DUE 06/15/36	B	Interest	L	T	Buy	07/20/11	L		
47. NEW YORK ST SER E OID BOND 4% DUE 12/15/37		None	K	T	Buy	12/08/11	K		
48. HUDSON YDS INFRA NY BOND 5% DUE 02/15/47		None	M	T	Buy	10/03/11	M		
49. CITIBANK CHECKING ACCOUNT - N.Y., N.Y.		None	J	T					
50. MERRILL LYNCH (IRA ACCOUNT) - OPPENHEIMER INT'L BOND FUND CL	A	Dividend			Sold	01/24/11	J		
51. MERRILL LYNCH (IRA ACCOUNT) - OPPENHEIMER INT'L BOND FUND CL		None	J	T	Buy	01/24/11	J		

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52. MERRILL LYNCH (IRA ROLLOVER) - ML BANK CASH ACCOUNT	A	Interest	M	T	Buy	12/31/11	M		Net Increase to MM Fund
53. MERRILL LYNCH (IRA ROLLOVER) - INVESCO INT'L FUND CL A		None			Sold	09/13/11	M	E	
54. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP. APPREC. FUND CL A		None	L	T					
55. MERRILL LYNCH (IRA ROLLOVER) - PUTNAM INT'L CAP OPP FUND CLA		None			Sold	08/03/11	M	E	
56. MERRILL LYNCH (IRA ROLLOVER)- AMER. CAP INC BLDG FUND CL A		None			Sold	03/01/11	M		
57. MERRILL LYNCH (IRA ROLLOVER) - MFS VALUE FUND CL C	A	Dividend	L	T					
58. MERRILL LYNCH (IRA ROLLOVER) - AMER. GWTH FUND OF AMER CL C		None			Sold	01/24/11	L		
59. MERRILL LYNCH (IRA ROLLOVER) - FED. KAUFMANN FUND CL C		None			Sold	04/15/11	M		
60. MERRILL LYNCH (IRA ROLLOVER) - OPPENHEIMER SELECT VALUE FUND		None	L	T					
61. MERRILL LYNCH (IRA ROLLOVER) - OPPENHEIMER VALUE FUND CL C	A	Dividend	L	T	Buy (add'l)	12/07/11	J		
62. MERRILL LYNCH (IRA ROLLOVER)- MAINSTAY LARGE CAP FUND CL C	C	Dividend	M	T	Buy (add'l)	12/08/11	J		
63. MERRILL LYNCH (IRA ROLLOVER)- ALGER CAP APPREC FUND CL C		None	M	T					
64. MERRILL LYNCH (IRA ROLLOVER)- LOOMIS SAYLES INV BOND FD CL C	D	Dividend	M	T	Buy (add'l)	10/18/11	K		
65. MERRILL LYNCH (IRA ROLLOVER)- PIMCO COMM RR STRATEGY FD CL C	E	Dividend	K	T	Buy (add'l)	02/17/11	K		
66.					Buy (add'l)	03/01/11	K		
67.					Sold (part)	09/13/11	L	D	
68. MERRILL LYNCH (IRA ROLLOVER)- FRANKLIN INCOME FD CL C	B	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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69. MERRILL LYNCH(IRA ROLLOVER)- BLACKROCK GLOBAL ALLOC FUND C	C	Dividend	M	T	Buy (add'l)	03/01/11	K		
70.					Buy (add'l)	10/18/11	J		
71.					Buy (add'l)	11/01/11	J		
72.					Buy (add'l)	12/01/11	J		
73. MERRILL LYNCH(IRA ROLLOVER)- OPPENHEIMER INT'L BOND FND CL C	A	Dividend			Sold	01/24/11	K		
74. MERRILL LYNCH(IRA ROLLOVER)- OPPENHEIMER DEV. MKTS FUND CL C		None			Buy (add'l)	03/01/11	K		
75.					Sold	09/13/11	L		
76. MERRILL LYNCH(IRA ROLLOVER)- BLACKROCK LATIN AMERICA FUND	A	Dividend	L	T	Buy	04/15/11	M		
77. MERRILL LYNCH(IRA ROLLOVER)- FED. KAUFMAN LRG CAP FUND CL C	C	Dividend	L	T	Buy	01/24/11	L		
78. MERRILL LYNCH(IRA ROLLOVER)- LORD ABBETT ST DURATION INC FUND	C	Dividend	M	T	Buy	09/14/11	M		
79.					Buy (add'l)	10/18/11	K		
80. MERRILL LYNCH(IRA ROLLOVER)- PIMCO GLOBAL MULTI ASSET FUND	D	Dividend	M	T	Buy	08/03/11	M		
81. US TREASURY DIRECT - US TREASURY NOTES	A	Interest			Closed	10/04/11	J		SEE PART VIII COMMENT
82. HSBC BANK - MONEY MARKET ACCTS. - BUFFALO,N.Y.	A	Interest			Closed	12/12/11	J		SEE PART VIII COMMENT
83. MICHAEL NAYLOR, PERSONAL LOAN		None	J	T					
84. CHASE BANK MONEY MARKET ACCT (INHERITED IRA ACCOUNT) - (X)		None	J	T					

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85. ESTATE (X)	D	Int./Div.	P1	T					
86. -MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS)									
87. -NEW YORK NY SER P BOND 4.25% DUE 08/01/25									
88. -TRIBOR BRIDGE & TUNNEL BOND 5% DUE 11/15/32									
89. -ALTRIA GROUP INC (COMMON)									
90. -AMN ELEC POWER CO. (COMMON)									
91. -AT&T (COMMON)									
92. -AVENET INC (COMMON)									
93. -BOEING CO. (COMMON)									
94. -BP PLC SPON ADR (COMMON)									
95. -CENTURYLINK INC. SHRS (COMMON)									
96. -CHEVRON CORP (COMMON)									
97. -CONSOLIDATED EDISON INC. (COMMON)									
98. -DAIMLER A (COMMON)									
99. -DIEBOLD INC. (COMMON)									
100. -DOMINION RESOURCES INC. (COMMON)									
101. -DUKE ENERGY CORP. (COMMON)									

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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	
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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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)

102. -EDISON INT'L CALIF (COMMON)									
103. -EXELON CORP. (COMMON)									
104. -EXXON MOBIL CORP. (COMMON)									
105. -FIRST ENERGY CORP. (COMMON)									
106. -GENERAL ELECTRIC (COMMON)									
107. -HERSHEY CO. (COMMON)									
108. -HESS CORP. (COMMON)									
109. -HONEYWELL INT'L INC. (COMMON)									
110. -KRAFT FOODS INC. (COMMON)									
111. -LSI CORP. (COMMON)									
112. -MARATHON OIL CORP. (COMMON)									
113. -MARATHON PETROLEUM CORP. (COMMON)									
114. -NORTHROP GRUMMAN CORP. (COMMON)									
115. -NSTAR (COMMON)									
116. -OCCIDENTAL PETROLEUM CORP. CAL (COMMON)									
117. -PEPCO HOLDINGS INC. (COMMON)									
118. -PEPSICO INC. (COMMON)									

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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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)

119. -PHILIP MORRIS INT'L INC. (COMMON)									
120. -PUBLIC SERVICE ENTERPRISE GROUP (COMMON)									
121. -ROCKWELL AUTOMATION INC. (COMMON)									
122. -ROCKWELL COLLINS INC. (COMMON)									
123. -ROYAL DUTCH SHELL PLC (COMMON)									
124. -SARA LEE CORP. (COMMON)									
125. -SKYWORKS SOLUTIONS INC. (COMMON)									
126. -SOUTHERN COMPANY (COMMON)									
127. -SPECTRA ENERGY CORP. (COMMON)									
128. -TERADATA CORP. (COMMON)									
129. -VERIZON COMM. (COMMON)									
130. -VODAPHONE GROUP PLC (COMMON)									
131. -YUM BRANDS INC. (COMMON)									
132. -DWS NEW YORK TAX FREE INCOME FUND CL A (MUTUAL FUND)									
133. -FEDERATED FUND FOR U.S. GOV'T SECURITIES CL A (MUTUAL FUND)									
134. -FEDERATED MUNICIPAL SECURITIES FUND CL A (MUTUAL FUND)									
135. -FRANKLIN U.S. GOV'T SECURITIES FUND CL C (MUTUAL FUND)									

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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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)
136. -FRANKLIN U.S. GOV'T SECURITIES FUND CL A (MUTUAL FUND)									
137. -ROCHESTER LIMITED TERM NY MUNICIPAL FUND (MUTUAL FUND)									
138. -WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)									
139. -FIDELITY CASH RESERVES (MONEY MARKET FUND)									
140. -FIDELITY MAGELLAN FUND (MUTUAL FUND)									
141. -FIDELITY NY MUNI INCOME FUND (MUTUAL FUND)									
142. -FIDELITY PURITAN FUND (MUTUAL FUND)									
143.									

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 VII - COMMENTS

1) INVESTMENTS REPORTED ON LINES 81 AND 82 RELATE TO A TREASURY NOTE ACCOUNT AND A CASH ACCOUNT HELD AT A BANK ON WHICH I AM NAMED CO-OWNER [REDACTED] AS A CONVENIENCE TO [REDACTED]. THE ACCOUNTS WERE FUNDED COMPLETELY BY MY [REDACTED] AND ALL EARNINGS ON THESE ACCOUNTS WERE REPORTED [REDACTED] DUE TO [REDACTED] LISTED [REDACTED] OWNERSHIP, I AM REPORTING THE ACTIVITY IN TOTAL FOR THESE TWO ACCOUNTS WHICH WERE CLOSED DURING 2011.

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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/ John G. Koeltl**

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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One Columbus Circle, N.E.
Washington, D.C. 20544