

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) Oetken, James Paul	2. Court or Organization Southern District of New York	3. Date of Report 08/20/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 500 Pearl Street New York, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> 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. Senior Vice President, Associate General Counsel	Cablevision Systems Corporation
2.	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Cablevision Systems Corporation - salary and bonus	\$1,639,650.98
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.)*

<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.				
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.)*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. Cablevision Systems Corporation	C	Dividend	M	T	Sold (part)	05/11/11	N	A	
2. Madison Square Garden, Inc.		None	L	T	Sold (part)	05/11/11	L	A	
3. General Electric	A	Dividend	J	T					
4. Hewlett-Packard Company	A	Dividend	J	T					
5. NASDAQ Group Inc.		None	J	T					
6. BlackRock Global Opportunities Equity Trust	A	Dividend	J	T					
7. American Funds Investment Co. of America - B	A	Dividend	J	T					
8. Invesco Prime Interest Trust Fund (Inv Van Kamp Sr Loan Fund)	A	Dividend	J	T					
9. Vanguard 500 Index Fund	B	Dividend	M	T					
10. Federated Enhanced Treasury Income Fund	A	Dividend			Sold	05/23/11	J	A	
11. Invesco Van Kampen Dynamic Credit Opportunities Fund	A	Dividend	J	T					
12. Claymore Delta Global Agriculture UIT	A	Dividend	J	T					
13. Claymore Health Care Portfolio UIT (CHCRIX)	A	Dividend			Redeemed	01/31/11	J	A	
14. Van Kampen IPOX 30 Index Portfolio UIT (VKIPNX)	A	Dividend			Redeemed	07/08/11	J	A	
15. HSBC Bank USA, N.A. Market Income CD	C	Interest	L	T					
16. UBS AG 100% PPN ARBN S&P 500 Structured Product		None			Redeemed	03/31/11	J	A	
17. ABM AMRO Income Plus Fund	A	Dividend	K	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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. AllianceBernstein International Style Blend Collective Trust		None			Sold	06/15/11	K	A	
19. EB Diversified Stock Fund		None	K	T					
20. Target Small Cap Value Portfolio Fund Class T (TASVX)	A	Dividend	J	T					
21. Vanguard Institutional Index Fund Institutional Plus Shares	A	Dividend	J	T					
22. Vanguard Strategic Equity Fund - Inv		None			Sold	06/15/11	K	B	
23. Columbia Acorn USA New York 529 Fund Class B		None	M	T					
24. Citibank N.A. cash accounts	A	Interest	L	T					
25. GE Interest Plus cash account	A	Interest	K	T					
26. Fieldpoint Private Bank and Trust cash account	A	Interest	K	T					
27. UBS Bank USA cash account	A	Interest	J	T					
28. UNTS First Trust Mergers Port Series		None			Redeemed	01/21/11	J	A	
29. AMC Networks Inc. (spin-off of Cablevision Systems Corp)		None	M	T	Spinoff (from line 1)	06/30/11	M		
30. UNTS FT Pharm Select PRTF Series 37	A	Dividend	J	T	Buy	05/24/11	J		
31. UNTS FT Sr Loan Limited Duration Plus C/ E 38	A	Dividend	K	T	Buy	04/20/11	K		
32. FFTW Income Plus Fund	A	Dividend	K	T					
33. Hartford Midcap HLS 1A	A	Dividend	K	T	Buy	06/15/11	K		
34. MFS Inst Intl Equity	A	Dividend	K	T	Buy	06/15/11	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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