

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) MAAS, FRANK S.	2. Court or Organization Southern District of New York	3. Date of Report 6/12/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate 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 United States District Court 500 Pearl Street, Room 740 New York, New York 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign 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. Trustee	Trust II
3. Member	Executive Committee, New York State Bar Association, Commercial and Federal Litigation Section
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. 2011	
3. 2011	
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. RSA Corporation/American Bar Association	2/17	San Francisco, CA	Conference	Lodging, Meals, and Transportation
2. New York State Bar Association Federal and Commercial Litigation Section	5/1-5/3	Cooperstown	Conference	Lodging and Meals
3. American Bar Association	8/15-16	Chicago	Workshop at Chicago Kent Law School	Lodging, Meals, and Transportation
4. IQPC	10/25	Philadelphia	Conference	Lodging, Meals, and Transportation
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. Abbott Laboratories Common	A	Dividend	K	T					
2. American Electrical Power Common	A	Dividend	J	T					
3. Amgen Common		None	K	T					
4. AT&T Common	B	Dividend	K	T					
5. Bank of New York Common	B	Dividend	K	T					
6. BP Amoco PLC ADRs	B	Dividend	J	T					
7. ChevronTexaco Common	A	Dividend	K	T					
8. Comcast Corp. Class A Common	A	Dividend	J	T					
9. Conoco Class B Common	B	Dividend	K	T					
10. Constellation Energy Group Common	A	Dividend	J	T					
11. Dominion Resources Common	B	Dividend	L	T					
12. DuPont Common	A	Dividend	J	T					
13. Exxon Mobil Common	B	Dividend	M	T					
14. Fairpoint Communications Common	A	Dividend	J	T			J		
15. Frontier Communications	A	Dividend	J	T					
16. General Electric Common	A	Dividend	J	T					
17. General Mills Common	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 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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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. Hospira Common		None	J	T					
19. Idearc Common		None	J	T					
20. International Business Machines Common	A	Dividend	L	T					
21. JP Morgan/Chase Common	A	Dividend	J	T					
22. Monsanto Common	A	Dividend	K	T					
23. OGE Energy Corp Common	A	Dividend	K	T					
24. Pfizer Common	C	Dividend	L	T					
25. Plains All American Pipelines LP Unit Ltd P'Ship Interest		None	K	T					
26. PP&L Resources Common	A	Dividend	J	T					
27. Verizon Communications Common	B	Dividend	K	T					
28. Vodafone PLC New Group	A	Dividend	K	T					
29. Wells Fargo	A	Dividend	J	T					
30. Weyerhaeuser Common	C	Dividend	J	T					
31. Fidelity NY Muni Money Market Fund	B	Dividend	L	T					
32. Trust II (A)									
33. Apple Common	A	Dividend	J	T	Buy	08/05/11	J		
34. General Mills Common	A	Dividend	J	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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35. Kraft Foods Class A Common	A	Dividend	J	T					
36. Medco Health Solutions Common		None	J	T					
37. Merck Common	A	Dividend	J	T					
38. Pepsico Common	A	Dividend	J	T					
39. Plains All American Pipelines LP Ltd P'ship Interest		None	J	T					
40. Yum Brands Common	A	Dividend	J	T					
41. Fidelity NY Muni Money Market Fund	A	Int./Div.	J	T					
42. FTFMX	A	Dividend	L	T					
43. End of [REDACTED] Trust II									
44. Fidelity Tax-FreeMoney Market Fund	A	Dividend	K	T					
45. Alliance Municipal Income Fund--NY Portfolio, Class A	A	Dividend	J	T					
46. Alliance Bond Fund US Gov't Portfolio Class A	A	Dividend	J	T					
47. Franklin Insured NY Tax Free Income Fund	B	Dividend	L	T					
48. Franklin NY Tax Free Income Fund	B	Dividend	L	T					
49. Putnam Amer. Gov't Income Fund Class A	B	Dividend	K	T					
50. NY Insured Municipals Income Trust	A	Dividend	J	T					
51. Frontier Communications Common	A	Dividend	J	T			J		

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52. GE Common	A	Dividend	J	T					
53. Medco Health Solutions Common		None	J	T					
54. Merck Common	A	Dividend	J	T					
55. Pfizer Common	C	Dividend	L	T					
56. Sensient Common	B	Dividend	L	T					
57. Cisco Common		None	K	T					
58. Citigroup Common		None	J	T					
59. Fairpoint Communications Common		None	J	T					
60. JP Morgan/Chase Common	A	Dividend	K	T					
61. Travelers Common	A	Dividend	J	T					
62. Legg Mason Partners NY Tax Free Bond Fund Class A	B	Dividend	L	T					
63. FMOXX	A	Dividend	K	T					
64. FFNOX	A	Dividend	K	T					
65. FSMKX	A	Dividend	K	T					
66. CMCSA		None	J	T					
67. FE	A	Dividend	J	T					
68. ALU	A	Dividend	J	T					

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69. T	B	Dividend	K	T					
70. VOD	A	Dividend	J	T					
71. VZ	A	Dividend	J	T					
72. New York City Deferred Compensation Plan (457)		None	L	T					
73. Fidelity Value (IRA)	A	Dividend	K	T					
74. Oppenheimer Money Market Fund (IRA)	B	Dividend	L	T					
75. Oppenheimer Capital Appreciation Fund (IRA)(F)	A	Dividend	K	T					
76. Citibank Money Market Account (IRA)	A	Interest	J	T					
77. Citibank Checking		None	J	T					
78. Citibank Savings	A	Interest	J	T					
79. FMAGX	B	Dividend	L	T					
80. FIGRX	A	Dividend	K	T					
81. FSLCX	A	Dividend	J	T					
82. FDCAX	B	Dividend	L	T					
83. FCNTX	A	Dividend	K	T					
84. FMCSX	A	Dividend	J	T					
85. FEQIX	A	Dividend	K	T					

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86. FSICX	B	Dividend	M	T					
87. FDGFX	B	Dividend	K	T					
88. FDVLX	B	Dividend	K	T					
89. WEMMX	A	Dividend	J	T					
90. FDRXX	A	Interest	J	T					
91. TIAA-CREF Retirement Account	A	Dividend	L	T					
92. FNYXX	A	Dividend	J	T					
93. JP Morgan Chase Savings	A	Interest	J	T					
94. JP Morgan Chase Checking	A	Interest	J	T					
95. JP Morgan Chase Checking	A	Interest	J	T					

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

Part VII. Agere Systems common stock, which was listed on line 2 of my 2010 report, should not have been listed for the past several years. Agere apparently merged with LSI Corporatin in 2007. Since I own no LSI stock, I assume I received some cash at the time of the merger. I owned less than \$100 worth of Agere stock before the merger.

FTFMX, listed on line 42, should have been listed in prior years. The account has owned this fund for a number of years. The omission was inadvertent.

Wyeth common, listed on line 63 in my 2010 report, was the subject of a merger with Pfizer that I reported on my 2009 report. It should not have appeared on my 2010 report and has been deleted.

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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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544