

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Block, Frederic	2. Court or Organization U.S. District Court	3. Date of Report 04/28/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 225 Cadman Plaza E. Eastern District Court of NY Brooklyn, NY 11201		
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. Officer	Frederic Block, P.C.
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. 2014 _____

SELF-EMPLOYED - OWNER OF CONSTRUCTION COMPANY

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.)*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. ALLIANCEBERNSTEIN GLOBAL	B	Dividend			Sold	12/02/14	K		
2. BLACKROCK NY MUNI INC.	B	Dividend	K	T					
3. BLACKROCK MUNIYIELD NY QLT	B	Dividend	K	T					
4. CALAMOS STRAT TOT RETURN FD	C	Dividend	K	T					
5. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	C	Dividend	L	T					
6. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	L	T					
7. EATON VANCE ENH INC FD II	A	Dividend	K	T	Buy	12/02/14	K		
8. FIRST TR NYSE ARCA BIOTE	A	Dividend	K	T	Buy	06/30/14	K		
9. FIRST TR EXCHANE TRADED FD DOW JONES IN	A	Dividend	K	T	Buy	06/30/14	K		
10. FIRST TR DORSEY WRT FOCUS 5 ETF SH	B	Dividend	K	T	Buy	07/30/14	K		
11. ML BANK BANK DEPOSIT PRGM(FIA CARD SERVICES) NA ACCOUNT	A	Interest	K	T					
12. GLOBAL X SUPERDIVI ETF	C	Dividend	K	T					
13. GUGGENHEIM S&P 500 PURE	A	Dividend	K	T					
14. GUGGENHEIM S&P 500 PURE GR ETF	A	Dividend	K	T	Buy	06/30/14	K		
15. GUGGENHEIM SPIN-OFF ETF		None			Sold	07/24/14	J	B	
16. INVESTCO SENIOR INC TRUST	C	Dividend	K	T					
17. ISHARES CORE S&P MID CAP ETF	A	Dividend	K	T	Buy	11/14/14	K		

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 –\$250,000.01 - \$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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☐ 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 I (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. ISHARES TRANSPORTATION AVE	A	Dividend	K	T	Buy	11/14/14	K		
19. ISHARES IBOXXS HIGH YIEL CORP BD FD	A	Dividend			Sold	04/28/14	K	A	
20. ISHARES SELECT DIV ETF	A	Dividend			Sold	07/24/14	K	C	
21. ISHARES US OIL & GAS EXPL & PRODUC.	A	Dividend			Sold	12/17/14	J		
22. ISHARES DOW JONES US FINL	A	Dividend	K	T					
23. ISHARES US CONSUMER SERVICES ETF	A	Dividend			Sold	07/24/14	K	C	
24. ISHARES US CONSUMER GOODS ETF	A	Dividend			Sold	07/24/14	K	B	
25. ISHARES US INDUSTRIALS ET	A	Dividend	K	T					
26. NUVEEN NY PERF PLS MUNI	A	Dividend	K	T	Buy	12/17/14	K		
27. POWERSHARES DWA ENERGY MOMENTUM PORTF	A	Dividend	J	T	Buy	06/30/14	K		
28. POWERSHARES EXCHANGE TRADED FD TR II S7P 500	A	Dividend	K	T	Buy	04/23/14	K		
29. SPDR S&P 500 ETF TR	A	Dividend	K	T	Buy	11/20/14	K		
30. ALLIANZGI NFJ DIV INT PREM STRAT AND PREM STRAT FD	C	Dividend	K	T					
31. POWERSHARES ETF TR DYNAMIC MEDIA PROF	A	Dividend			Sold	12/17/14	J	B	
32. POWERSHARES EXCHANGE	A	Dividend			Sold	11/13/14	K		
33. POWERSHARES BUYBACK ACHVRS	A	Dividend			Sold	05/23/14	J	B	
34. WESTERN ASSET HIGH INC OPPT F	B	Dividend			Sold	12/02/14	K		

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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	(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)

35. WISDOMTREE TRUST JAPAPN HEDGED EQ. FD.	A	Dividend			Sold	07/24/14	K		
36. IRA - F. BLOCK									
37. ALLIANCEBERNSTEIN GLOBAL HIGH	B	Dividend	K	T					
38. BLACKROCK INTL GROWTH & INCOME TR	C	Dividend	K	T					
39. CALMOS STRAT TOT RET RETURN FD	C	Dividend	K	T					
40. DWA TECH LEADERS POR PWERSHARES ETF	A	Dividend	K	T	Buy	10/01/14	K		
41. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	K	T					
42. EATON VANCE TX-AD GL DIV GL DIV INC FD	B	Dividend	K	T					
43. EATON VANCE ENH INC FD II	C	Dividend	K	T					
44. FIRST TRUST US IPO INDEX FD		None			Sold	02/04/14	J	C	
45. FIRST TR NASDAQ 100 EQ	A	Dividend	K	T					
46. FIRST TR EXCHANGE TRADED FD DOW JONES IN		None			Sold	04/17/14	J	C	
47. FIRST TR EXCHANGE TRADED FD VI SHS		None	K	T	Buy	07/30/14	K		
48. GUGGENHEIM S&P 500 EQUAL WEIGHT ETF	A	Dividend	L	T	Buy	10/01/14	L		
49. GUGGENHEIM S&P 500 PURE GR ETF	A	Dividend	K	T	Buy	05/02/14	K		
50. ISHARES MSCI HONG KONG	A	Dividend	J	T	Buy	07/30/14	J		
51. ISHARES CORE S&P MID CAP ETF	A	Dividend	K	T	Buy	10/31/14	K		

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	
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	(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)
52. ISHARES TRANSP AVE	A	Dividend	K	T	Buy	10/28/14	K		
53. ISHARES NASDAQ BIOTECH ETF		None			Sold	03/11/14	K	A	
54. ISHARES SELECT DIV ETF	A	Dividend			Sold	02/27/14	L	C	
55. ISHARES US HEATHCATE	A	Dividend	K	T					
56. LOOMIS SAYLES VALUE FD CL A	B	Dividend	L	T	Buy	01/31/14	L		
57. WELLS FARGO ADVANTAGE MULTI SECTOR INC. FD.	A	Dividend			Sold	06/13/14	K		
58. BANK OF AMERICA NA RASP ACCOUNT (FIA CARD SERVICES NA RASP)	A	Interest	K	T					
59. LOOMIS SAYLES SR FLOAT RET & FIXD INC FD CL A	A	Dividend			Sold	02/03/14	K		
60. LOOMIS SAYLES VALUE FD CL A	A	Dividend			Sold	09/19/14	L	C	
61. LOOMIS SAYLES GR FD CL A	A	Dividend	L	T	Sold (part)	12/09/14	K	C	
62. LOOMIS SAYLES STRAT INC FD CL C	B	Dividend	L	T					
63. LORD ABBETT FLOATING RATE FD CL C	B	Dividend	K	T					
64. NATIXIS OAKMARK INTNL FD CL A	A	Dividend			Sold	05/28/14	K	D	
65. NATIXIS US EQUITY OPPT (MULTI CAP EQ) FD CL A		None	L	T	Sold (part)	03/07/14	K	B	
66. NATIXIS OAKMARK FD CL A	A	Dividend	L	T	Buy	09/18/14	L		
67. POWERSHARES QQQ TR UNITS SER 1	A	Dividend	K	T	Buy	11/25/14	K		

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
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68. POWERSHARES S&P INTL DEV LOW VOL PORT	B	Dividend	K	T	Buy	05/13/14	K		
69. SPDR S P EMERG ASIA PAC	A	Dividend	K	T	Buy	10/30/14	K		
70. ALLIANZGI NFJ DIVID INT & PR(NFJ DIV INT PREM STRAT AND PREMIUM STRAT)	C	Dividend	K	T					
71. PIMCO BUILD AMERICA BD EX TRDED FD	A	Dividend			Sold	04/07/14	K		
72. PIMCO STOCKSPUS TOTAL RETURN FD CL C	A	Dividend			Sold	02/27/14	L	E	
73. POWERSHARES EXCH TRADED FD TR HIGH YIELD	A	Dividend			Sold	07/24/14	K	C	
74. SPDR BARCLAYS CONVBL SEC ETF	A	Dividend			Sold	05/22/14	K	B	
75. WESTERN ASSET HIGH INC OPPT FD	C	Dividend	K	T					
76. WISDOM TREE EUROPE HEDGED EQ FD	A	Dividend	K	T	Buy	05/22/14	K		
77. BANK OF AMERICA NA RASP ACCOUNT	A	Interest	K	T	Open	01/01/14	K		
78. BANK OF SMITHTOWN ACCOUNT	A	Interest	J	T					
79. ALIBABA GP HOLDING LT (1)		None	J	T	Buy	10/03/14	J		
80. APPLE INC. (1)	A	Dividend	J	T	Buy	12/16/14	J		
81. BEST BUY CO INC. (1)	A	Dividend	J	T	Buy	10/03/14	J		
82. ENERPLUS COR. SHS (1)	A	Dividend	J	T	Buy	12/16/14	J		
83. JP MORGAN CHASE & CO.(1)	A	Dividend	J	T	Buy	10/03/14	J		

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84. JP MORGAN CHASE & CO.(1)	A	Dividend	J	T	Sold (part)	12/16/14	J		
85. UNDER ARMOUR INC.(1)		None	J	T	Buy	10/03/14	J		
86. DWA TECH LEADERS PORT POWERSHARES ETF (1)	A	Dividend	K	T	Buy	10/03/14	K		
87. FIRST TR DORSEY WRT FOCUS 5 ETF SH (1)	A	Dividend	K	T	Buy	10/03/14	K		
88. GUGGENHEIM S&P 500 EQUALWEIGHT ETF (1)	A	Dividend	K	T	Buy	10/03/14	K		
89. FIRST TRUST EXCHANGE TRADED (1)		None	J	T	Buy	10/03/14	J		
90. FIRST TRUST EXCHANGE TRADED (1)		None			Sold	12/16/14	J		
91. FD DPW JONES IN (1)		None	J	T	Buy	10/03/14	J		
92. FD DOW JONES IN (1)		None			Sold	12/16/14	J		

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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/ **Frederic Block**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544