

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) Marrero, Victor	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 10/16/2012
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, SDNY 500 Pearl Street New York, New York 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. Trustee	New York Public Library
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. 2011

municipal government official

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. ☐ PUTNAM IRA: (see line 2)									
2. Balanced Retirement C1-A	A	Dividend	J	T	Sold	10/27/11	J	A	
3.									
4. DREYFUS (see line 5)									
5. NY Tax Exempt Fund	D	Dividend	M	T	Sold (part)	12/01/11	K	A	
6.									
7. NY STATE TUITION SAVINGS PLAN see Part VIII, no control	A	Dividend	J	T					
8.									
9. JPMORGAN CHASE MONEY MARKET	A	Interest	J	T					
10.									
11. ☐ NYC DEFERRED COMP. IRA	A	Dividend	L	T					
12.									
13. CHASE TRADITIONAL IRA (see lines 14-18)									
14. JPMorgan High Yield Bd Fund	A	Dividend	K	T					
15. JPMorgan Core Plus Bond Class A	A	Dividend	J	T					
16. JPMorgan Emerg. Mkts Debt C1 A	A	Dividend	K	T					
17. MFS Emerg. Mkts Debt C1 A	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. Principal Global Diversified Inc. A	A	Dividend	L	T					
19.									
20. FIDELITY ROLLOVER IRA: (see lines 21 through 101)									
21.					Buy	06/25/10	J		
22. Strategic Adv. Value Fund	C	Dividend	K	T	Sold (part)	03/11/11	J	B	
23.					Sold (part)	09/14/11	J	A	
24.					Sold (part)	10/13/11	L	A	
25. Strategic Adv. Small Mid-Cap Fd	A	Dividend	J	T	Buy	08/10/11	J		
26.					Sold (part)	09/14/11	J	A	
27.					Sold (part)	10/13/11	K	A	
28. Strategic Adv. Int'l Fd	B	Dividend	L	T	Sold (part)	03/03/11	J	A	
29.					Buy	08/10/11	J		
30.					Buy	09/01/11	J		
31.					Sold (part)	10/13/11	L	A	
32. Strategic Adv. US Opp Fd	A	Dividend	J	T	Sold (part)	05/12/11	J	A	
33.					Buy	08/10/11	J		
34.					Sold (part)	09/14/11	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 \$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.)

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35.					Sold (part)	10/13/11	K	A	
36. Strategic Adv. Core Fund	C	Dividend	K	T	Buy	01/05/11	J		
37.					Buy	01/06/11	J	A	
38.					Sold (part)	03/03/11	J	B	
39.					Buy	08/10/11	J		
40.					Sold (part)	09/14/11	J	A	
41.					Sold (part)	10/13/11	L	A	
42. Strategic Adv. Growth Fund	A	Dividend	K	T	Buy	08/10/11	J		
43.					Buy	09/14/11	J		
44.					Sold (part)	10/13/11	L	A	
45. Fidelity Real Estate Inc.	A	Dividend	J	T	Buy	10/13/11	K		
46. Strategic Adv. Emerg. Mkts.	A	Dividend	J	T	Buy	08/10/11	J		
47.					Sold (part)	10/13/11	J	A	
48. Fidelity Dividend Growth		None			Sold	01/05/11	J	A	
49. Fidelity Select Gold	B	Dividend	J	T	Sold (part)	10/13/11	J	A	
50. Fidelity Capital & Income	B	Dividend			Sold (part)	03/03/11	J	A	
51.					Sold (part)	05/12/11	J	A	

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52.					Sold	10/13/11	J	A	
53. Fidelity Investment Grade	B	Dividend	K	T	Sold (part)	03/13/11	K	A	
54. Fidelity Short Term Bond	A	Dividend	K	T	Sold (part)	03/03/11	J	A	
55.					Sold (part)	08/10/11	J	A	
56.					Buy	09/14/11	J		
57.					Sold (part)	10/13/11	K	A	
58. Fidelity GNMA Fund	A	Dividend	K	T	Buy	03/03/11	K		
59.					Sold (part)	08/10/11	J	A	
60.					Buy	10/13/11	J		
61. Fidelity Total Bond	E	Dividend	L	T	Sold (part)	08/10/11	J	B	
62.					Buy	10/13/11	K		
63. Strategic Adv. Core Inc. Fd	E	Dividend	M	T	Buy	03/03/11	K		
64.					Buy	03/04/11	J		
65.					Buy	05/12/11	J		
66.					Sold (part)	08/10/11	K	A	
67.					Buy	09/14/11	J		
68.					Buy	10/13/11	L		

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69. Strategic Adv. Inc. Opp. Fd	E	Dividend	L	T	Buy	03/03/11	J		
70.					Buy	05/12/11	J		
71.					Buy	05/13/11	J		
72.					Buy	10/13/11	J		
73. FIMM MMKT Port Inst. Cl	A	Dividend	L	T	Sold (part)	03/01/11	J	A	
74.					Sold (part)	05/14/11	J	A	
75.					Sold (part)	08/23/11	J	A	
76.					Buy	09/14/11	J		
77.					Buy	10/13/11	K		
78.					Sold (part)	12/21/11	J	A	
79. Fidelity Money Market		None			Sold	01/05/11	J	A	
80. AQR Divers. Arb. Class.	A	Dividend	J	T	Buy	10/13/11	K		
81. Credit Suisse Comm. Rtn. Strgy	A	Dividend	J	T	Buy	10/13/11	J		
82. Merger Fund		None			Buy	03/03/11	J		
83.					Buy	05/12/11	J		
84.					Sold	10/13/11	K	A	
85. Metropolitan West Low Dur.	A	Dividend	J	T	Buy	10/13/11	K		

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86. Pimco Total Return Adm. Shs	C	Dividend	L	T	Buy	03/03/11	J		
87.					Sold (part)	05/12/11	J	A	
88.					Sold (part)	08/10/11	J	B	
89.					Buy	10/13/11	K		
90. Pimco Short Term Adm Shs	A	Dividend	M	T	Sold (part)	03/03/11	J	A	
91.					Sold (part)	08/10/11	J	A	
92.					Buy	09/14/11	J		
93.					Buy	10/13/11	L		
94.					Buy	10/14/11	J		
95. Pimco Commnd. Real Ret. Strat. Adm.	A	Dividend			Sold (part)	03/03/11	J	A	
96.					Sold	10/13/11	J	A	
97. T Rowe Price High Yield Adv Cl	B	Dividend	K	T	Sold (part)	03/03/11	J	A	
98.					Sold (part)	05/12/11	J	A	
99. Templeton Global Bond Cl A	A	Dividend	K	T					
100. Westport Select Cap Cl R		None			Sold	01/05/11	J	A	
101. Fidelity Cash Reserves	A	Interest	J	T					
102.									

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103. ☐ FIDELITY ROLLOVER IRA: (see lines 104 through 130)									
104. Strategic Adv. Value Fund	A	Dividend	J	T					
105. Strategic Adv. Small-Mid Cap Fd	A	Dividend	J	T					
106. Strategic Adv. Int'l Fd	A	Dividend	J	T					
107. Strategic Adv. US Oppy. Fd	A	Dividend	J	T					
108. Strategic Adv. Core Fund	A	Dividend	J	T					
109. Strategic Adv. Growth Fund	A	Dividend	J	T	Buy	08/12/11	J		
110. Strategic Adv. Emerg. Mkts	A	Dividend	J	T					
111. Fidelity Real Estate Inc.	A	Dividend	J	T					
112. Fidelity Select Gold	A	Dividend	J	T					
113. AQR Diversified Arb. Class	A	Dividend	J	T					
114. Credit Suisse Comm. Rtn. Strgy. Sh	A	Dividend	J	T					
115. Fidelity Invest. Grade	A	Dividend			Sold	03/17/11	J	A	
116. Fidelity GNMA Fund	A	Dividend	J	T	Buy	03/17/11	J		
117. Fidelity Total Bond	A	Dividend	J	T	Buy	11/02/11	J		
118. Strategic Adv. Core Inc Fd	A	Dividend	K	T	Buy	03/17/11	J		
119.					Buy	11/02/11	J		

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120. Strategic Advs Income Opp Fd	A	Dividend	J	T					
121. Fidelity Money Market		None			Sold	01/05/11	J		
122. Metropolitan West Low Duration M	A	Dividend	J	T	Sold (part)	03/17/11	J	A	
123. Pimco Total Return Adm Shs	A	Dividend	J	T					
124. Pimco Short Term Adm Shs	A	Dividend	J	T	Buy	11/02/11	J		
125. T Rowe Price High Yld Adv Cl	A	Dividend			Sold	03/17/11	J	A	
126. T Rowe Price Short Term Bd Fund	A	Dividend	J	T					
127. T Rowe Price Mid Cap. Value		None			Sold	01/05/11	J	A	
128. Templeton Global Bd Cl A	A	Dividend	J	T					
129. FIMM MMKT Port Inst CL	A	Dividend	J	T					
130. Fidelity Cash Reserves	A	Interest	J	T					
131.									
132. FIDELITY SEP IRA: (see lines 133 through 161)									
133. Strategic Advs Value Fund	A	Dividend	J	T	Sold (part)	03/17/11	J	A	
134.					Buy	08/12/11	J		
135. Strategic Advs. Small-Mid Cap Fd	A	Dividend	J	T					
136. Strategic Advs. Int'l Fd	A	Dividend	J	T	Sold (part)	05/19/11	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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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)
137.					Buy	08/12/11	J		
138. Strategic Adv. US Oppty Fd	A	Dividend	J	T			J		
139. Strategic Adv. Core Fund	A	Dividend	J	T	Buy	08/12/11	J		
140. Strategic Adv. Growth Fund	A	Dividend	J	T	Buy	08/12/11	J		
141. Strategic Adv. Emerg. Mkts	A	Dividend	J	T					
142. Fidelity Real Estate Income	A	Dividend	J	T					
143. Fidelity Select Gold	A	Dividend	J	T					
144. AQR Divers. Arb. Class I	A	Dividend	J	T	Buy	05/19/11	J		
145. Credit Suisse Commnd Return Strtgy Shs	A	Dividend	J	T					
146. Fidelity GNMA Fund	A	Dividend	J	T	Buy	03/17/11	J		
147. Fidelity Invest. Grade	A	Dividend			Sold	03/17/11	K	A	
148. Fidelity Total Bond	C	Dividend	K	T	Sold (part)	08/12/11	J	A	
149. Strategic Adv. Core Inc. Fd	B	Dividend	K	T	Buy	03/17/11	K		
150.					Buy	03/18/11	J		
151.					Sold (part)	08/12/11	J	A	
152. Strategic Adv. Inc. Opp. Fd	A	Dividend	J	T	Buy	03/17/11	J		
153.					Sold (part)	05/19/11	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 \$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)
154. FIMM MMRT Port Inst. CL	A	Dividend	J	T	Buy	03/17/11	J		
155. Fidelity Money Market		None			Sold	01/05/11	J		
156. Metropolitan West Low Dur. M	A	Dividend	J	T	Sold (part)	03/17/11	J	A	
157. Pimco Total Retrn Adm. Shs	B	Dividend	K	T	Sold (part)	08/12/11	J	A	
158. Pimco Short Term Adm Shs	A	Dividend	K	T	Sold (part)	08/12/11	J	A	
159. T Rowe Price High Yld Adv Cl	A	Dividend			Sold	03/17/11	J	A	
160. T Rowe Price Short Term Bd Fund Adv Cl	A	Dividend	J	T	Buy	05/19/11	J		
161. Templeton Global Bd Cl A	A	Dividend	J	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. The NY State Tuition Savings Plan investment recorded on Page 4, Line 7 is divided into two program accounts named Moderate Growth Fund and Conservative Growth Fund, 50% in each, with no control by the investor over the securities in the portfolio.
2. In Part VII, Page 4, Line 2 of my report for 2011, there is a listing for a Citibank Keogh Account consisting of two parts, CDs and a Transamerica Annuity. The entire Keogh account was sold on 10/27/10. However, the 2011 report inadvertently listed the sale on that date on the line corresponding to the Transamerica Annuity, although it was intended to refer to both. The CDs line should have separately indicated that that portion was sold on 10/27/10 as well.

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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/ Victor Marrero**

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