



UNITED STATES DISTRICT COURT
UNITED STATES COURTHOUSE
500 PEARL STREET
NEW YORK, NY 10007

DISCLOSURE OFFICE

2008 AUG 25 A 10:48

RECEIVED

TEL (212) 805-0184

CHAMBERS OF
HAROLD BAER, JR.
DISTRICT JUDGE

August 20, 2008

Judge Ortrie D. Smith, Chair
Judicial Conference of the
United States Committee on Financial Disclosure
One Columbus Circle N.E.
Washington, D.C. 20544

Re: Calendar Year 2007 Filing

Dear Judge Smith:

Reference is made to your letter of July 23, 2007 addressed to me regarding my filing for the calendar year 2007.

In Part II, III, and V, your comments concerning responses have been duly noted for future reports.

With respect to Part II, Line 1, a full explanation is listed.

1. With respect to Part II Line 1 Agreements, and more particularly to the New York Management Welfare Fund, it is simply a state created entity that provides benefits to former New York State employees including Supreme Court Justices. That's all I know. I don't know what you mean when you say a complete listing is required for any agreement, my only recollection of the benefit is a \$10,000 life insurance policy and nothing else. I don't know what you mean by the date. I took office in New York State on January 1, 1982 and that's when it likely began. I have no information about the parties and the terms. It is a New York State welfare fund - likely included hundreds of thousands of New York State employees. If you want me to write to New York State and get more details I will but I want you to understand that I have absolutely no interest in this fund other than the benefit it may provide, i.e., a life insurance policy.

Part IV, Line 2:

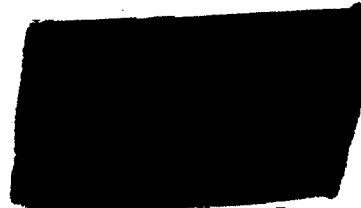
2. Seminar in Washington, D.C. June 2007 - The seminar was sponsored by the AEI-Brookings Joint Center for Regulatory Studies, Judicial Education Program. They reimbursed me for airfare and cab fare to and from the airport.

The following pages have been amended:

Page 5, Line 7 for "Intel Corp."

Page 6, Line 27 for "Interactive Brokers Group"

Page 5, Line 17 covers "Plains all American Pipeline, LP" and J.M. Smucker have nothing to do with "Advantage Prim 40 PD". A further explanation is required.



Hon. Harold Baer, Jr.
U.S.D.J.

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Name of Person Reporting

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05/07/2008

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ROCHESTER FUND	C	Dividend	M	T					
2. EXXON MOBIL CORP.	B	Dividend	L	T					
3. HOME DEPOT INC.	A	Dividend	K	T					
4. PROCTOR & GAMBLE CO.	B	Dividend	L	T					
5. SCUDDER GLOBAL FUND	A	Dividend	J	T					
6. VERIZON COMM.	A	Dividend	K	T	SELL	4/17	K	E	
7. INTEL CORP		None	K	T	SELL	2/28	K	E	
8. ROCHESTER MUNICIPAL FUND, INC.	C	Dividend	M	T					
9. FIRST ENERGY CORP.	B	Dividend	K	T	PART SALE	4/17	K	E	
10. PFIZER, INC.	B	Dividend	K	T	PART SALE	7/8	K	E	
11. CYPRESS SEMICONDUCTOR CORP		None	L	T					
12. OPPENHEIMER CAPITAL APPREC. FD IRA		None	J	T	SELL	4/17	K	E	
13. QUEST FOR DUAL PURPOSE FUND IRA	A	Dividend	J	T					
14. 3.67% INTEREST BUILDING BROOKLYN, NY	B	Rent	J	W					
15. OCC CASH RESERVE	A	Dividend	J	T					
16. OPPENHEIMER QUEST CAPITAL VALUE FUND		None	J	T					
17. PLAINS ALL AMERICAN PIPELINE LP	B	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 O = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 Q = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

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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-F)	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-F)	(5) Identity of buyer/seller (if private transaction)
18. MEDCO HEALTH SOLUTIONS	A	Dividend	J	T					
19. GENERAL ELECTRIC	A	Dividend	J	T	BUY	7/30			
20. ICICI BANK LTD	A	Dividend	J	T					
21. IDEARC INNC.	A	Dividend	J	T					
22. 1 SHARES MSCI	A	Dividend	K	T					
23. CAPITAL WORLD GROWTH INCOME FUND	A	Dividend	K	T					
24. WASHINGTON MUTUAL INV FUND	A	Dividend	K	T	SELL	1/11	K		
25. ASBURY AUTOMOBILE GROUP	A	Dividend	J	T	BUY	10/29			
26. SOUTHWEST AIRLINES CO.	B	Dividend	J	T	BUY	7/31			
27. INTERACTIVE BROKERS GROUP		None	J	T	BUY	5/4			
28.									
29.									

1. Income Gain Codes: (See Columns B1 and D4)	A=\$1,000 or less P=\$50,001 - \$100,000 J=\$15,000 or less N=\$250,001 - \$500,000 P3=\$25,000,001 - \$50,000,000	B=\$1,001 - \$2,500 G=\$100,001 - \$1,000,000 K=\$15,001 - \$50,000 O=\$500,001 - \$1,000,000	C=\$2,501 - \$5,000 H1=\$1,000,001 - \$5,000,000 L=\$50,001 - \$100,000 P1=\$1,000,001 - \$5,000,000 P4=More than \$50,000,000	D=\$5,001 - \$15,000 H2=More than \$5,000,000 M=\$100,001 - \$250,000 P2=\$5,000,001 - \$25,000,000	E=\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q=Appraisal U=Book Value	R=Cost (Real Estate Only) V=Other	S=Assessment W=Estimated	T=Cash Market	

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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) BAER, JR., HAROLD	2. Court or Organization US DISTRICT	3. Date of Report 05/07/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address ROOM 2230 US COURTHOUSE 500 PEARL STREET NEW YORK, NY 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 NONE 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. _____
3. _____
4. _____
5. _____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. _____ New York Management Welfare Fund
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.		MATTHEW BENDER & CO., INC. - BOOK ROYALTIES	\$ 1,278.00
2.		PENSION - NY STATE EMPLOYEES' RETIREMENT SYTEM	\$ 21,074.00
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.	FJC EDUCATIONAL SEMINAR	APR 22-25	BOSTON, MA		
2.	NON-FJC EDUCATIONAL SEMINAR	JUNE 20-22	WASHINGTON, DC		\$306
3.	COURT GOVERNANCE OR ADMINSTRATIVE / MANAGERIAL MEETINGS	JULY 23-26	SAN ANTONIO, TX		\$300
4.	COURT GOVERNANCE OR ADMINSTRATIVE /	AUG 6-9	PASADENA, CA		\$2,241

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MANAGERIAL MEETINGS

5. MEETING OF US
JUDICIAL
CONFERENCE OR
COMMITTEES

OCT 14-17

PALM BEACH, FL

\$1,264,00

6.

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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.		
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. WACHOVIA SECURITIES	SECURITIES MARGIN ACCOUNT	J
2. WACHOVIA SECURITIES	SECURITIES MARGIN ACCOUNT	J
3.		
4.		
5.		

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3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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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



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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544