

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Katz, Theodore H.	2. Court or Organization Southern District of New York	3. Date of Report 05/01/2012
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 Courthouse 500 Pearl Street - Room 1660 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	Trust #1
2. Adjunct Teaching Position	Columbia University School of Law
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Katz, Theodore H.

Date of Report

05/01/2012

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	Trust #1 - Trustee Fees	\$8,100.00
2. 2011	Columbia University School of Law - Adjunct Teaching Position	\$5,000.00
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. 2011	Salary- Rand Rosenzweig Smith Radley & Gordon LLP
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Katz, Theodore H.

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05/01/2012

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Katz, Theodore H.

Date of Report

05/01/2012

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. JP Morgan Chase Bank Account	A	Int./Div.	K	T					
2. Fortune Brands (Common)	A	Dividend			Sold	09/20/11	J	C	
3. Intel (Common)	A	Dividend			Sold	03/30/11	J		
4. US Savings Bonds	A	Interest	J	T					
5. Oracle (Common)	A	Dividend			Sold	09/13/11	K	E	
6. AT&T (Common) (X)	A	Dividend	K	T					
7. Fidelity Blue Chip Growth (Mutual Fund)	A	Dividend			Sold	12/30/11	J	B	
8. Intel (Common)	A	Dividend	J	T					
9. Matthews China Fund (Mutual Fund)	A	Dividend	J	T					
10. Janus Overseas (Mutual Fund)	A	Dividend	J	T					
11. Artisan Intl. Value Fund (Mutual Fund)	A	Dividend			Sold	02/07/11	J	A	
12. Matthews India Fund (Mutual Fund)	A	Dividend			Sold	12/30/11	J		
13. Fidelity Select Energy (Mutual Fund)	A	Dividend	J	T					
14. Cisco (Common)		None			Sold	09/15/11	J		
15. Alcoa (Common)	A	Dividend			Sold	01/26/11	J	A	
16. Protective Life Corp.(Common)	A	Dividend	K	T					
17. Verizon (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 = \$250,000,001 - \$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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FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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18. IRA # 1									
19. - Artisan Int'l (Mutual Fund)	A	Dividend	J	T					
20. - Loomis Sayles Global Bond Retail (Mutual Fund)	A	Dividend	J	T					
21. - iShares Barclays US Aggregate Bond Fund (X)	A	Dividend	K	T					
22. - Barclays BK PLC I Path Index LKD Secs.	A	Dividend	J	T					
23. - iShares Barclay's TR 1-3 Yr. Index Fund	A	Dividend	J	T					
24. - iShares TR Russell 2000 Growth Index Fund	A	Dividend	J	T					
25. - iShares Tr MSCI EAFE Index Fund	B	Dividend	J	T					
26. - Fidelity Cash Reserves	A	Dividend	K	T					
27. - SPDR Gold TR SHS		None	J	T					
28. - Eaton Vance Floating RateAdv	A	Dividend	J	T					
29. -iShares MSCI Pacific ex-Japan	A	Dividend			Sold	10/20/11	J	B	
30. - SPDR Index Shs. S&P Intl. Small Cap	A	Dividend	J	T					
31. - iShares Barclay's 1-3Yr. CD Bond Fund	A	Dividend	J	T					
32. - iShares Barclays Treas Inflation Protection	A	Dividend			Sold	09/12/11	J		
33. - Vanguard Specialized Portfolios Div App	A	Dividend	J	T					
34. - SPDR Ser Tr S&P Biotech ETF	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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35. Fidelity Global Commodity Stock Fund	A	Dividend	K	T					
36. JP Morgan Chase Alerian MLP Index ETN	A	Int./Div.	J	T					
37. Wisdom Tree Emerging Markets Equity Index Fund	A	Dividend	J	T					
38. Wisdom Tree India Earnings Funds		None			Sold	11/23/11	J		
39. SPDR Index SHS Funds S&P Global Natural Res. ETF		None			Sold	10/11/11	J		
40. Vanguard Intl Equity Index Fund European Vipers		None	J	T					
41. Vanguard Emerging Mkts Vipers		None	J	T					
42. SPDR Index SHS FDS S&P Emerging Latin Am. ETF		None	J	T					
43. Thornburg Intl. Value Class A		None	J	T					
44. Fidelity Emerging Mkts.		None	J	T					
45. Market Vectors ETF Tr RVE Hard Assets Producers	A	Dividend	J	T	Buy	10/11/11	J		
46. Power Shares Exchg. Traded Ft TSD India Portfolio		None	J	T	Buy	11/23/11	J		
47.									
48. IRA 2									
49. - Fidelity Select Energy Portfolio	A	Dividend	J	T					
50. - Brandywine Blue Fund	A	Dividend	J	T					
51. - Fidelity Select Pharmaceuticals	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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Katz, Theodore H.

Date of Report

05/01/2012

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52. - Ariel Growth Fund	A	Dividend	J	T					
53. - Sequoia Fund	A	Dividend	K	T					
54.									
55. Trust # 1	E	Int./Div.	P1	T					
56. - JP Morgan Chase (Bank Account)									
57. -Federal Home Loan Mtg. - 11/15 (Bond)									
58. -Federal Home Loan Mtg. - 3/15/11 (Bond)					Redeemed	03/15/11	J		
59. - Federal National Mtg Assn.- 3/15/11 (Bond)					Redeemed	03/15/11	J		
60. - NY Met. Trans. Auth - A 7/1/10 (Bond)									
61. - Apple (Common)									
62. - Cisco (Common)					Buy (add'l)	04/05/11	J		
63. - ITT Corp. (Common)					Sold	01/14/11	J		
64. - Novartis AG (Common)									
65. - Dentsply (Common)					Sold	05/02/11	J	B	
66. - Exxon Mobil (Common)									
67. - HCC Ins. Holdings (Common)									
68. - Colgate-Palmolive (Common)									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Katz, Theodore H.

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69. - State Street Corp. (Common)					Buy (add'l)	4/5/11	J		
70. - iShares Tr Russell 2000 Growth Index Fund									
71. - 3M Co. (Common)									
72. - Microsoft (Common)					Buy (add'l)	4/5/11	J		
73. - Campbell Soup (Bond)					Redeemed	02/15/11	K		
74. - Lockheed Martin (Common)									
75. - Adobe (Common)					Sold	05/05/11	J		
76. - Pepsico (Common)									
77. - Pepsico Inc. Bond- due 02/15/13									
78. - Eaton Vance Floating Rate Adv									
79. - TJX Cos. (Common)									
80. - Wisdom Tree Emerging Mkts. Equity Income Fund									
81. - ONEOK Partners, L.P.									
82. - AT&T Corp. (Bond) - due 11/15/11					Redeemed	10/11/11	K	A	
83. - iShares MSCI Pacific ex-Japan					Sold	10/12/11	J	B	
84. - SPDR S&P Intl. Small Cap									
85. - Google (Common)									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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86. - Walt Disney Co. Sr. Note- due 07/15/11					Redeemed	07/15/11	K		
87. - General Dynamics Corp. (Bond) - due 02/01/14									
88. - Stryker Corp. (Common)									
89. - FPL Group Capital Inc. Note - 6/15/113									
90. - American Home Prods. Corp. Cr. Sen 3/15/11					Sold	03/15/11	K		
91. - Fed. Farm Credit Bk. - Bond -1/23/24									
92. - Lowes Cos. Inc. Note - 6/1/10									
93. - Diageo Cap PLC Bond									
94. - Duke Energy Corp. Bond									
95. - Proctor & Gamble Note- 2/15/19									
96. - Fairfax Financial Holdings (Common)									
97. - SPDR Gold Tr Gold SHS									
98. - iShares Barclays Treas. Inflation nProtected Secs.					Sold	09/02/11	K	C	
99. - iShares Barcalys 1-3 Yr. Cd BD Fund									
100. - XTO Energy (Common)									
101. - Direct TV Group (Common)									
102. - Johnson & Johnson (Common)									

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Page 10 of 13

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103. - SPDR SER TR S&P Biotech ETF									
104. Wisdom Tree India Earnings Fund					Sold	11/23/11	J		
105. Vanguard Emerging Mkts. Vipers									
106. SPDR Index Shs FDS S&P Global Nat. Res ETF					Sold	10/11/11	J		
107. Vanguard Intl. Equity Index Fd Vanguard European VIPERS					Sold	08/24/11	J		
108. SPDR Index SHs FDS S&P Emerging Latin Am. ETF					Buy (add'l)	8/5/11	J		
109. McCormick & Co. (Common)									
110. Johnson & Johnson (Common)									
111. Wisdom Tree Emerging Mkts. Local Debt FD					Buy (add'l)	8/5/11	K		
112.					Buy (add'l)	12/29/11	J		
113. Goldman Sachs Group (Common)									
114. Wal-Mart Stores (Common)									
115. Urban Outfitters (Common)					Buy	04/04/11	J		
116.					Sold	08/15/11	J		
117. Akami Tech (Common)					Buy	04/29/11	J		
118.					Sold	08/02/11	J		
119. I Shares Barclays 1-3 Yr Bond Fund					Buy	1/20/11	J		

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Page 11 of 13

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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 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)
120. John Wiley & Sons (Common)					Buy	1/27/11	J		
121. Whirlpool (Common)					Buy	2/25/11	J		
122.					Buy (add'l)	4/5/11	J		
123. Berkshire Hathaway Fin. Note					Buy	3/25/11	K		
124. McCormick & Co. (Common)					Buy	4/5/11	J		
125. Goldman Sachs Group (Common)					Buy	4/5/11	J		
126. Bard CR Inc. (Common)					Buy	8/5/11	J		
127. Wells Fargo (Common)					Buy	8/24/11	J		
128. Berkshire Hathaway Inc (Common)					Buy	8/24/11	J		
129. Devon Energy (Common)					Buy	8/24/11	J		
130. Market Vectors ETF TR RVE Hard Assets					Buy	1/14/11	J		
131. General Electric Cap Corp (Bond)					Buy	10/25/11	K		
132. Powershares Exchg. Traded FDS TST India Portfolio					Buy	11/29/11	J		
133. iShares Barclays 1-3 Yr. CD Bond Fund					Buy	12/29/11	K		
134. Wisdom Tree Emerging Mkts Equity Income Fund					Buy	12/29/11	J		
135.									

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Katz, Theodore H.

Date of Report

05/01/2012

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

TRUST #1 - The assets in this trust are reported solely because I am a co-trustee of the Trust. The assets in the trust are held for the benefit of a relative.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Katz, Theodore H.

Date of Report

05/01/2012

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/ **Theodore H. Katz**

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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Washington, D.C. 20544