

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) PECK, ANDREW J.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 06/14/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Courthouse 500 Pearl Street, Room 1370 New York, NY 10007-1312		
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.		
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. 1978-1995	Paul, Weiss, Rifkind, Wharton & Garrison Pension Plan
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. 01/17/2012	Nova (Teaching E-Discovery)	\$1,000.00
2. 01/24/2012	Servient (Teaching E-Discovery)	\$1,500.00
3. 01/30/2012	Legal Tech: Clearwell/Symantec (Teaching E-Discovery)	\$1,500.00
4. 01/30/2012	Legal Tech: Dorsey & Whitney (Teaching E-Discovery)	\$1,500.00
5. 01/31/2012	Legal Tech: Epiq (Teaching E-Discovery)	\$1,500.00
6. 01/31/2012	Legal Tech: Autonomy (Teaching E-Discovery)	\$1,500.00
7. 01/31/2012	Legal Tech: EMC (Teaching E-Discovery)	\$1,500.00
8. 01/31/2012	Legal Tech: BIA (Teaching E-Discovery)	\$1,500.00
9. 02/01/2012	Legal Tech: Renew Data (Teaching E-Discovery)	\$1,500.00
10. 03/06/2012	Sandpiper (Teaching E-Discovery)	\$1,500.00
11. 03/15/2012	DGI (Teaching E-Discovery)	\$1,500.00
12. 04/24/2012	EDGE (Clearwell) (Teaching E-Discovery)	\$1,500.00
13. 05/21/2012	CEIC (Guidance) (Teaching E-Discovery)	\$1,500.00
14. 06/27/2012	Epiq UK (Teaching E-Discovery)	\$1,500.00
15. 07/16/2012	Executive Counsel Institute (Teaching E-Discovery)	\$1,250.00
16. 09/21/2012	IQPC (Teaching E-Discovery)	\$1,500.00
17. 10/04/2012	Sandpiper (Teaching E-Discovery)	\$1,500.00
18. 12/13/2012	Boston EDisc. Summit (Teaching E-Discovery)	\$1,500.00

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. 01/01/2012	12/31/12 N.Y.C. Board of Education - Pension

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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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	North Carolina Bar Assoc. (Nova)	1/17	San Francisco, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
2.	ABA	2/25-29	San Francisco, CA	Speaker - ABA Conf.	Transportation, Lodging & Meals
3.	Sandpiper	3/6	Atlanta, GA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
4.	DGI	3/15	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
5.	ABA	3/27-31	Las Vegas, NV	Speaker - ABA Conf.	Transportation, Lodging & Meals
6.	EDGE (Clearwell)	4/24	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
7.	CEIC (Guidance)	5/21-22	Las Vegas, NV	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
8.	Epiq UK Discovery Conf.	6/27	London, England	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
9.	Carmel Valley E-Discovery Retreat	7/21-26	Monterey, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
10.	ABA	7/31-8/2	Chicago, IL	Speaker - ABA Conf.	Transportation, Lodging & Meals
11.	Sedona Conference	9/12-14	Atlanta, GA	E-Disc. Conf.	Transportation, Lodging & Meals
12.	IQPC	9/21	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
13.	Duke Law School	9/27-29	Durham, NC	Duke Law School Board of Visitors	Transportation, Lodging & Meals
14.	Sandpiper	10/4	Boston, MA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
15.	EDiscovery Institute	10/17-20	Ft. Lauderdale, FL	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
16.	Epiq Discovery Conference	11/14-15	Houston, TX	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
17.	Louisiana State Bar Association	11/29-30	New Orleans, LA	Speaker - Complex Lit. Conf.	Transportation, Lodging & Meals
18.	Georgetown Law School	12/5-7	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
19.	Boston EDiscovery Institute	12/13	Boston, MA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals

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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.			
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. U.S. Treas.Bills/Notes & SvgsBonds	A	Interest	K	T					
2. NYS, NYC & NYS Subdivs. Bonds	E	Interest	O	T					
3. Bristol-Myers-Squib (Common Stock)	A	Dividend	J	T					
4. Century Telephone (Common Stock)	A	Dividend	J	T					
5. DWS N.Y. Tax Free Fund	E	Dividend	N	T					
6. Chase Bank	B	Interest	L	T					
7. DWS Strategic Value Fund IRA (DWS S&P 500 Index Fund)	A	Dividend	K	T					
8. Eaton (Common Stock) (U.S.)	E	Dividend			Sold	12/3/12	O	G	
9. Eaton (Ireland) Common	A	Dividend	O	T	Buy	12/3/12	O		
10. American Express (Common Stock)	A	Dividend	K	T					
11. GLAXO (ADRs)	A	Dividend	J	T					
12. Citibank	A	Interest	L	T					
13. Dreyfus General NY Bond Fund	B	Interest	L	T					
14. N.Y.C. Teachers Retirement TDA	E	Interest	O	T					
15. Astoria Federal IRA	A	Interest			Closed	4/15/12	J	A	
16. Fidelity Puritan IRA	A	Interest	K	T					
17. Copeland (457) (IRA)	A	Interest	L	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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18. Verizon (common)	A	Dividend	J	T					
19. Allstate Corp. (common)	A	Dividend	J	T					
20. Walt Disney Holding (Common)	A	Dividend	L	T					
21. Time Warner & Time Warner Cable (Common)	A	Dividend	J	T					
22. Putnam Growth Fund	A	Dividend	K	T					
23. Hewlett Packard (Common)	A	Dividend	J	T					
24. McDonald's (Common) (IRA)	A	Dividend	K	T					
25. Oracle (Common)	A	Dividend	K	T					
26. Pfizer (Common)	A	Dividend	J	T					
27. Schwab Vanguard Target Retire.Fund(IRA)	D	Interest	N	T					
28. Putnam Growth Fund (IRA)	A	Interest	J	T					
29. DWS Scudder S&P 500 Index Fund	A	Dividend	K	T					
30. Eaton Vance Government Obligation Fund	A	Dividend	J	T					
31. Seligman Communication Fund	A	Dividend	J	T					
32. Coca-Cola (Common)	A	Dividend	J	T					
33. PIMCO N.Y. Municipal Income Fund	A	Dividend	J	T					
34. ING Principal Protection Fund (IRA)	A	Dividend	K	T					

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35. Zimmer Holdings	A	Dividend	J	T					
36. Microsoft	A	Dividend	J	T					
37. Liberty Global & Liberty Media (Common)	A	Dividend	J	T					
38. Diamond Trust	A	Dividend			Sold	01/04/12	J	A	
39. Pioneer Municipal High Income	A	Dividend	K	T					
40. S&P Depository Receipt	A	Dividend	K	T					
41. Capitol One Bank	D	Interest	O	T					
42. Comcast	A	Dividend	J	T					
43. Discovery Communications	A	Dividend	J	T					
44. Direct TV	A	Dividend	J	T					
45. Sovereign Bank Account	A	Interest	J	T					
46. TD Bank	A	Interest	J	T					
47. (Pimco) Total Return Annuity	A	Interest	K	T					
48. Fidelity 4 in 1 Fund	A	Interest	K	T					
49. Fidelity Asset Mgr.	A	Interest	K	T					
50. LOMTO Credit Union	D	Interest	O	T					
51. Fidelity VIP Strategic Income	A	Dividend	L	T					

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52. Yacktman Fund	A	Dividend	L	T					
53. (Fidelity) Permanent Portfolio (IRA)	A	Interest	K	T					
54. Permanent Portfolio	A	Interest	K	T	Buy	3/6/12	K		
55. Yacktman Focused Service Fund	A	Interest	J	T	Buy	3/12/12	J		
56. N.Y.C. IRA Funds	A	Dividend	L	T	Buy	12/1/12	L		
57. Chase (Morgan) Tax Free Money Market	A	Dividend			Sold	7/11/12	J		
58. MS AAA NY Muni Money Market (See Part VIII)	A	Dividend	J	T					

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

Part VII, Item 58: MS AAA NY Muni Money Market was formerly Smith Barney Western Asset NY Muni Fund.

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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/ ANDREW J. PECK**

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