

**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) Scheindlin, Shira A.	2. Court or Organization S.D.N.Y.	3. Date of Report 07/09/2012
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	6. Reporting Period 01/01/2011 to 12/31/2011
	5b. ☐ Amended Report	
7. Chambers or Office Address USDC-SDNY 500 Pearl Street New York, N.Y. 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.	Director	Justice Resource Center
2.		
3.		
4.		
5.		

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DISCLOSURE OFFICE

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.		

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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. 2011	West Services, Inc. Book Royalties	\$3,886.00
2. 2011	Yeshiva University	\$17,000.00
3. 1/19/2011	Art Sale	\$21,120.00
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. 1/12/2011	State University of New York
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. ABA	1/28/2011-1/29/2011	Snowmass, CO	Speaker	Travel, Food, Lodging
2. Sedona Conference	4/6/2011-4/10/2011	Del Mar, CA	Speaker	Travel, Food, Lodging
3. Defense Research Institute	5/18/2011-5/19/2011	Scottsdale, AZ	Speaker	Travel, Food, Lodging
4. Sedona Conference	6/19/2011-7/01/2011	Lisbon, Portugal	Speaker	Travel, Food
5. Cohasset: Management of Electronic Records Conference	(/07/2011-9/08/2011	Chacago, IL	Speaker	Travel,. Food, Lodging
6. Ontario Law Society	9/19/2011	Ontario, Canada	Speaker	Travel, Food, Lodging

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7.	Federation of Defense and Corporate Counsel	9/21/2011-9/22/2011	Philadelphia, PA	Speaker	Travel, Food, Lodging
8.	Cornell Law School	11/10/2011	Ithaca, NY	Attend Meeting	Travel, Food, Lodging
9.	Georgetown Law School: Advanced E-Discovery Institute	11/16/2011-11/18-2011	Washington DC	Speaker	Travel, Food, Lodging

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE 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. Rental Property #1, Kings County, NY	F	Rent	P1	W					
2. IRA #1									
3. IRA Sentinel Cap Growth Fund Class A	A	Int./Div.	K	T					
4. IRA Sentinel MidCap Growth Class A		None	K	T					
5. IRA Sentinel Intl Equity Class A	A	Int./Div.	K	T					
6. IRA Sentinel Small Company A		None	K	T					
7. IRA Sentinel Common Stock Class A	A	Int./Div.	K	T					
8. IRA Sentinel Gov't. Securities Class A	A	Int./Div.	K	T					
9. IRA Sentinel Conservation Strategies Fund. Class A	A	Int./Div.	K	T					
10. Teachers Insurance Annuity Association	G	Interest	P1	T					
11. College Retirement Equities Fund		None	P1	T					
12. Supplemental and Group Retirement Annuities	D	Interest	O	T					
13. AXA Financial	A	Int./Div.	J	T					
14. Vanguard Pacific Stock*		None			Sold	04/29/11	J	A	
15. Vanguard Int'l Growth Fund*	A	Dividend	J	T	Buy	04/29/11	J		
16. Pfizer	B	Dividend	L	T					
17. Brooklyn Federal S&L	A	Interest	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

A = \$1,000 or less

F = \$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

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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)
18. Brooklyn Federal S&L	A	Interest	J	T					
19. Chase Manhattan Bank	A	Interest	J	T					
20. Chase Manhattan Bank	A	Interest	J	T					
21. Chase Manhattan Bank	A	Interest	K	T					
22. Chase Manhattan Bank	A	Interest	M	T					
23. Chase Manhattan Bank	A	Interest	K	T					
24. Chase Manhattan Bank	A	Interest	L	T					
25. NYS Local Gov't Assist. Corp. Series C	A	Interest	J	T	Sold (part)	04/01/11	J		
26. Fidelity Advantage Small Cap.	C	Dividend	K	T					
27. Fidelity Advantage Mid Cap	A	Dividend	K	T					
28. Brokerage Account #1									
29. Excelsior Directional Hedge Fund of Funds		None	M	T					
30. ASTON Montag & Caldwell Grth FD CL 1	A	Dividend	K	T					
31. ASTON Montag & Caldwell Grth FD CL 1	C	Distribution	K	T					
32. Columbia DIV. INC FD CLZ	B	Dividend	L	T					
33. Columbia FDS SSR TR Value and Restructuring FD CL Z	B	Dividend	M	T	Sold (part)	08/08/11	K		
34. Columbia FDS SER TR 1 Select Opportunities FD CL Z*									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

A = \$1,000 or less

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P3 = \$25,000,001 - \$50,000,000

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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

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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)
35. Columbia FDS SER TR 1 Select LGE CAP Grth FD CL Z	B	Distribution	M	T					
36. BOFA NY Tax Exempt Res. Tr. Cl.(inc. inv.)	A	Dividend	J	T					
37. BOFA NY Tax Exempt Reserves Trust Class	A	Distribution	J	T					
38. Columbia Small Cap Grth FD	C	Distribution	K	T	Sold (part)	05/05/11	K	D	
39. Columbia Small Cap Value FD	A	Int./Div.	L	T	Sold (part)	03/08/11	K	E	
40. Columbia Small Cap Value FD	A	Int./Div.	L	T	Sold (part)	03/25/11	K	D	
41. Columbia Small Cap Value FD	A	Int./Div.	L	T	Sold (part)	05/03/11	K	E	
42. Columbia Short Term Muni, Bd Fund Cl Z	A	Int./Div.	K	T	Buy	05/03/11	K		
43. Columbia NY Inter Muni Bd Fund Cl Z	D	Int./Div.	N	T					
44. Janus Invest. FD Enterprize	A	Dividend	L	T					
45. Lazard Fd. Inc. Emerg. Mkts.	A	Dividend	K	T					
46. Lazard Fd. Inc. Emerg. Mkts.	A	Distribution	K	T					
47. Thornburg Int. Value Fd	A	Int./Div.	K	T					
48. Thornburg Int. Value Fd.	A	Dividend	K	T	Buy (add'l)	03/25/11	K		
49. Thornburg Int. Value Fd.	A	Dividend	K	T	Buy (add'l)	05/03/11	J		
50. Thornburg Int. Value Fd.	A	Dividend	K	T	Buy (add'l)	05/05/11	J		
51. Thornburg Int. Value Fd.	A	Dividend	K	T	Sold (part)	09/19/11	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

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D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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52. Harbor Intl Fund	A	Int./Div.	K	T	Buy	09/19/11	K		
53. Hussman Inv. Strategic Growth fund	A	Int./Div.	K	T	Buy	08/08/11	K		
54. PIMCO Commodity Realreturn Strat. FD	A	Int./Div.	J	T	Buy	03/09/11	J		
55. PIMCO Commodity Realreturn Strat. FD	A	Distribution	J	T	Buy	03/25/11	K		
56. PIMCO Commodity Realreturn Strat. FD	A	Distribution	J	T	Sold (part)	08/08/11	K		
57. PIMCO Commodity Realreturn Strat. FD	A	Distribution	J	T	Sold (part)	10/04/11	K		
58. Vanuward REET ETF	A	Dividend	J	T	Buy	05/09/11	K		
59. Vanuward REET ETF	A	Dividend	J	T	Sold (part)	10/06/11	J		
60. Scottrade Acct. #1									
61. Barely Bk MSCI India		None	J	T					
62. MSCI Pacific	A	Dividend	J	T					
63. MSCI South Korea	A	Dividend	J	T					
64. MSCI Mexico	A	Dividend	J	T					
65. MSCI Hong Kong	A	Dividend	J	T					
66. FTSE Xinhua China	A	Dividend	J	T					
67. SPDR Gold Trust		None	K	T	Sold (part)	12/9/11	J		
68. Brandywine Blue FD	A	Int./Div.	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes:

(See Columns C1 and D3)

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C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$3,000,000

P4 = More than \$50,000,000

D = \$5,001 - \$15,000

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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.)

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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)
69. Harbor Bond Fund	A	Int./Div.	J	T					
70. Long Leaf Partners Fund	A	Dividend	J	T					
71. Perritt Micro Cap FD		None	K	T					
72. Scottrade Sweep US Bank NA	A	Dividend	J	T					
73. Oakmark Select Fund	A	Int./Div.	J	T					
74. Fairholme Fund	A	Int./Div.	J	T					
75. SPDR Series trust KBWregl. B	A	Int./Div.	J	T					
76. SPDR Series Trust KBWbkETF	A	Int./Div.	J	T					
77. PIMCO Emerging Local Bond fund	A	Int./Div.	J	T					
78. M& I marshall Iisley Bank (sweep Acc't)	A	Int./Div.	J	T					
79. Brokerage Acct. #2									
80. Huaneng PWR	A	Dividend			Sold	04/21/11	J		
81. Windstream	A	Dividend	J	T					
82. Markwest	A	Dividend	J	T					
83. SPDR Index SHS FDS INT (IPF-ETF)	A	Int./Div.	J	T					
84. MSCI Hong Kong (EWH-ETF)	A	Int./Div.	J	T					
85. SPDR Index SHS FDS S&P China (GXC)	A	Int./Div.	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

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D = \$5,001 - \$15,000

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M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

E = \$15,001 - \$50,000

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Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Scheindlin, Shira A., 07/09/2012

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.)

Table with 10 columns: A. Description of Assets, B. Income during reporting period, C. Gross value at end of reporting period, D. Transactions during reporting period. Rows include assets like Claymore Exchange Traded Fund (TAN), FAIRX, US Bank NA (sweep acc't), FNORX, FEMEX, FSEAX.

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, 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, 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, P3=\$25,000,001 - \$50,000,000, P4=More than \$50,000,000

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Date of Report

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

Part VII ll. 14, 15 Vanguard Pacific Fund was sold and Vanguard International Growth Fund Purchased, both on 4/29/2011. However, on last year's form I inadvertently listed the Vanguard International Growth Fund rather than the Pacific Fund.

Part VII l 34 In 2008, the Excelsior Equities Opportunities Fund became Columbia Select Opportunities Fund (March 28, 2008). The fund was sold December 4, 2008 for a \$30,000 loss and the monies transferred to the Ashton and Columbia Dividend Inc. Fund.. Columbia Select Opportunities Fund was listed properly on the 2009 report but the sale, inadvertently, was not reported. It was therefore listed incorrectly on the 2010 Financial Disclosure 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 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