

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) Block, Frederic	2. Court or Organization U.S. District Court	3. Date of Report 05/06/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District 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 225 Cadman Plaza E. Eastern District Court of NY Brooklyn, NY 11201		
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. Officer	Frederic Block, P.C.
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. _____

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. BLACKROCK NY MUNI INC.	C	Dividend	K	T	Sold (part)	04/24/12	K	B	
2. BLACKROCK MUNIYIELD NY QLT	C	Dividend	K	T	Sold (part)	04/24/12	J	A	
3. CALAMOS STRAT TOT RETURN FD	C	Dividend	K	T	Buy	01/06/12	K		
4. COHEN & STEERS CLOSED END OPPTY FD	A	Dividend			Sold	09/18/12	J		
5. EATON VANCE INS NY MUN	A	Dividend			Sold	01/06/12	L		
6. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	C	Dividend	L	T					
7. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	K	T					
8. FIA CARD SERVICES NA	A	Interest	J	T					
9. FRONTIER COMM CORP	A	Dividend			Sold	12/07/12	J		
10. INVESTCO SENIOR INC TRUST	B	Dividend	K	T	Buy	01/06/12	K		
11. ISHARES IBOXXS HIGH YIEL CORP BD FD	B	Dividend	K	T	Buy	01/10/12	K		
12. NFJ DIV INT PREM STRAT AND PREM STRAT FD	C	Dividend	K	T	Buy	01/06/12	K		
13. NUVEEN NY INV QUAL MUNI	C	Dividend	L	T					
14. NUVEEN NY PREF PLS MUNI	A	Dividend			Sold	01/06/12	L	D	
15. NUVEEN NY QUAL INC MUNI	C	Dividend			Sold	03/21/12	L	D	
16. NUVEEN NY SEL QUAL MUNI	C	Dividend	L	T					
17. NUVEEN QUAL PREF INC 2	C	Dividend	K	T	Buy	01/06/12	K		

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. PIMCO NY MUN INC FD	A	Dividend			Sold	01/06/12	K		
19. POWERSHARES S&P 500	A	Dividend	K	T	Buy	09/18/12	K		
20. PRINCIPAL INVESTORS PRF SEC C FD	A	Dividend			Sold	01/03/12	K		
21. SPDR S P DIVID ETF	A	Dividend	K	T	Buy	01/10/12	K		
22. WESTERN ASSET HIGH INC OPPT F	B	Dividend	K	T	Buy	01/06/12	K		
23. IRA - F. BLOCK									
24. ARES CAPITAL CORP.	A	Dividend			Sold	07/26/12	J		
25. -MORGAN STANLEY - TR V DEF INT TR PFD 5.75% 7/15/33	A	Interest			Sold	04/09/12	J		
26. -CITIGROUP CAP VIII DEF INT TR PFD STK 6.95% 09/15/31	A	Interest			Sold	04/09/12	J		
27. -VORNADO REALTY TRUST SER F CUM PFD SHS 6.75% PERP	A	Interest			Sold	04/09/12	J		
28. ARROW DWA BALANCED FD CL A	A	Dividend			Sold	01/06/12	K		
29. ASA MANAGED FUTURES STRT.FD. CL. A	A	Dividend			Sold	04/13/12	K		
30. BLACKROCK EQUITY DIV FD C	A	Dividend	K	T					
31. CALMOS STRAT TOT RET RETURN FD	C	Dividend	K	T					
32. DWA TECH LEADERS PORT PWERSHRS ETF	A	Dividend	K	T	Buy	07/05/12	K		
33. EATON VANCE RISK MNGD DIV.EQ INCM FD	A	Dividend			Sold	01/03/12	K		
34. FIDELITY AVB INTERM BD. FD. CL C	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 = \$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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35. FIRST EAGLE GLOBAL CL C	C	Dividend	K	T					
36. FRANKLIN RISING DIV. FD. CL. C	A	Dividend	K	T					
37. ISHARES S&P 100 INDEX FD	A	Dividend	K	T	Buy	06/14/12	K		
38. ISHARES HIGH DIV EQ FD	B	Dividend	K	T	Buy	08/29/12	K		
39. WELLS FARGO ADVANTAGE MULTI SECTOR INC. FD.	C	Dividend	K	T					
40. J HANCOCK PREF INC 2	A	Dividend	J	T					
41. THORNBURG INC BUILDER FD CL C	A	Dividend			Sold	06/18/12	L		
42. FIA CARD SERVICES NA RASP	A	Interest	J	T					
43. LOOMIS SAYLES STRT. INC. FD. CL A	A	Dividend			Sold	01/04/12	J		
44. LOOMIS SAYLES STRAT INC FD CL C	C	Dividend	L	T					
45. LOOMIS SAYLES CORE PLUS BD FD CL A	A	Dividend	K	T	Buy	01/04/12	L		
46. LOOMIS SAYLES CORE PLUS BD FD CL A	A	Dividend			Sold (part)	12/14/12	K		
47. LORD ABBETT SHORT DUR. INC. FD. C	B	Dividend	L	T					
48. MORGAN STANLEY 5.5% 7/28/21	A	Interest			Sold	01/30/12	K		
49. NATIXIS OAKMARK INTNL FD CL A	A	Dividend	K	T	Buy	12/13/12	K		
50. NATIXIS DIVERSIFIED INC PRTFOLIO A	B	Dividend	L	T	Buy	04/12/12	L		
51. NFJ DIV INT PREM STRAT AND PREMIUM STRAT FD	C	Dividend	K	T					

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52. NUVEEN BUILD AMER BD FD	C	Dividend	L	T					
53. NUVEEN QUAL PREF INC 2	B	Dividend	K	T					
54. NUVEEN QUAL PREF INC 3	A	Dividend			Sold	10/24/12	K		
55. PIMCO STOCKSPUS TOTAL RETURN FD CL C	C	Dividend	L	T	Buy	07/12/12	L		
56. PIMCO INCOME FD CL C	C	Dividend	K	T					
57. PRINCIPAL INVESTORS PRF SEC C FD	A	Dividend			Sold	01/23/12	K		
58. POWERSHARES QQQ TR UNITS SER 1	A	Dividend	K	T	Buy	08/07/12	K		
59. POWERSHARES S&P 500BUYWRITE PORTFOLIO	B	Dividend	K	T	Buy	06/13/12	K		
60. PRUDENTIAL JENNISON EQ INC FD CL C	B	Dividend	L	T					
61. PRUDENTIAL TOTAL RETURN BD FD CL C	B	Dividend	L	T					
62. RS TECHNOLOGY FD CL C		None	K	T	Buy	01/18/12	K		
63. TEMPLETON GLOBAL BD FD CL C	B	Dividend	L	T					
64. WESTERN ASSET HIGH INC OPPT FD	C	Dividend	K	T	Buy	01/03/12	K		
65. BANK OF SMITHTOWN	A	Interest	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
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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.)*

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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/ **Frederic Block**

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