

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) Sweet, Robert W.	2. Court or Organization U.S. District Court	3. Date of Report 05/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge (Senior status)	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 Federal Court House 500 Pearl St - Room 1920 New York, NY 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.	Member, Board of Directors	The Constitution Works
2.	Member, Board of Directors	World Figure Skating Museum
3.	Member, Board of Managers	Havens Society
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.		

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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.	12 Int'l Congress of Human Genetics & 61st American Society of Human Genetics Mtg	October 12 - October 14, 2011	Montreal, Canada	Guest Speaker	Travel, meals and lodging
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.)*

	<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.	R.H. Lafferty & Co., Inc.	Short sale of 4,000 Allied Nevada Gold Corp on 8/10/11 uncocered at end of year	M
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. Pfizer	A	Dividend	J	T					
2. IBM	A	Dividend	K	T					
3. Walt Disney Company	A	Dividend	K	T					
4. AT&T Corp	A	Dividend	J	T					
5. Alcatel -Lucent		None	J	T					
6. 3M	B	Dividend	L	T					
7. Imation Corp		None	J	T					
8. Proctor & Gamble Co	B	Dividend	L	T					
9. General Electric Co.	A	Dividend	J	T					
10. LSI Corp		None	J	T					
11. Comcast Corp	A	None	J	T					
12. Smucker J M Company	A	Dividend	J	T					
13. Citadel Broadcasting (c)		None							
14. Amazon.com Inc.		None	K	T					
15. Capital Assets Fund (a)	A	Dividend	K	T					
16. Wells Fargo Company	B	Dividend	M	T	Sold (part)	10/27/11	L	E	
17. Amazon.com Inc		None	M	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 \$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. Ishares Comex Gold Trust		None	L	T					
19. Raytheon	C	Dividend			Sold	10/27/11	M		
20. Microsoft	B	Dividend	L	T					
21. L3 Communications	B	Dividend			Sold	10/27/11	L		
22. USTN 1.375% TIP 7/15/18	D	Interest	O	T					
23. Fidelity Trust Co Int'l Money Market Fund (a)	A	Dividend	O	T					
24. Allied Nevada Gold Corp (short sale)		None	M	T	Sold	8/10/11	M		
25. RBC Prime Money Market (a)	A	Dividend	L	T					
26. Knolls II Villa LP		None	J	U					
27. Estes - Sheridan LP	D	Distribution	J	U					
28. NP Stratham LLC	F	Distribution	M	U					
29. NP Dover LP	E	Distribution	J	U					
30. NP Nashua LLC	D	Distribution	L	U					
31. NP Fairhaven LLC	C	Distribution	J	U					
32. NP Hanson LLC		None	J	U					
33. NP Portfolio Account LLC	G	Distribution	M	U					
34. NPS2 LLC		None	J	U					

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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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	(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. Execwest LLC		None	O	U					
36.									
37. Trust #1 (lines 37 - 114) (b)	F	Distribution	O	T					
38. Abbott Labs									
39. Accenture Ltd					Sold (part)	3/31/11	J	C	
40. Accenture Ltd					Sold	10/25/11	J	C	
41. Ace Limited									
42. Activision Blizzard Inc					Buy	8/19/11	J		
43. Activisions Blizzard Inc					Buy (add'l)	11/18/11	J		
44. Altera Corp									
45. Ameriprise					Buy	1/21/11	J		
46. Ameriprise					Buy (add'l)	8/11/11	J		
47. Amgen					Buy (add'l)	2/17/11	J		
48. Analog Devices Inc.					Buy	1/31/11	J		
49. Analog Devices Inc.					Buy (add'l)	2/17/11	J		
50. Analog Devices Inc.					Sold (part)	7/21/11	J		
51. Apple Inc									

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52. BMC Software Inc.					Sold	1/31/11	K	D	
53. Capital One Financial									
54. Cardinal Health Inc.									
55. Centurylink Inc.					Spinoff (from line 101)	4/1/11			
56. Centurylink Inc.					Sold (part)	7/21/11	J	D	
57. Cliffs National Resources					Buy	6/16/11	J		
58. Cliffs National Resources					Buy (add'l)	7/11/11			
59. Cliffs National Resources					Sold (part)	9/9/11	J		
60. Computer Science					Sold	6/16/11	J	B	
61. Conagra Food									
62. Dell Inc.					Buy	3/4/11	K		
63. Dish Network Corp.					Buy	7/21/11	J		
64. Dish Network Corp.					Buy (add'l)	8/5/11	J		
65. Dish Network Corp.					Buy (add'l)	8/11/11	J		
66. Exelis Inc.					Spinoff (from line 74)	11/4/11			
67. Exlem Inc.					Spinoff (from line 74)	11/4/11			
68. Exxon Mobil Corp.					Sold (part)	1/31/11	K	E	

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69. Exxon Mobil Corp					Sold (part)	2/17/11	K	E	
70. Fluor Corp					Buy	5/16/11	K		
71. Fluor Corp.					Sold (part)	10/25/11	J		
72. Freeport-Mcmran									
73. Hershey									
74. ITT Industries									
75. IBM					Sold (part)	8/19/11	K	D	
76. International Paper Co					Sold (part)	2/4/11	J	C	
77. International Paper Co					Buy (add'l)	10/7/11	J		
78. Kroger					Buy (add'l)	3/3/11	J		
79. Kroger					Buy (add'l)	3/31/11	J		
80. Limited Brands					Sold (part)	10/7/11	J	B	
81. Lorillard					Buy	10/25/11	J		
82. Lowes					Sold (part)	7/21/11	J	A	
83. Lowes					Sold (part)	8/11/11	J		
84. Lyondellbasell Industrie					Buy	8/18/11	J		
85. Lyondellbasell Industrie					Buy (add'l)	9/9/11	J		

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86. Marathon Oil					Sold (part)	7/11/11	J	C	
87. Marathon Oil					Buy (add'l)	8/18/11	J		
88. Marathon Oil					Buy (add'l)	9/1/11	J		
89. McDonalds Corp									
90. Microsoft					Sold (part)	11/17/11	J	A	
91. Motorola (spin-off into lines 92 & 94)					Redeemed	1/4/11			
92. Motorola Mobility					Spinoff (from line 91)	1/4/11			
93. Motorola Mobility					Sold	1/18/11	J	D	
94. Motorola Solutions					Spinoff (from line 91)	1/4/11			
95. Motorola Solutions					Buy (add'l)	2/4/11	J		
96. Motorola Solutions					Sold (part)	10/13/11	J	B	
97. Murphy Oil					Buy	3/31/11	J		
98. NRG Energy Inc									
99. Phillip Morris					Buy	10/25/11	J		
100. Prudential					Buy (add'l)	8/11/11	J		
101. Qwest Comm (spin off into line 55)					Redeemed	4/1/11			
102. Sara Lee									

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103. Sprint Nextel Corp.					Buy	7/21/11	J		
104. Target					Sold (part)	7/21/11	J		
105. Target					Sold (part)	8/4/11	J		
106. Travelers Co									
107. United Technologies					Sold (part)	2/17/11	K	E	
108. United Technologies					Sold (part)	3/4/11	K	E	
109. United Technologies					Sold (part)	5/13/11	K	E	
110. Unitedhealth Group									
111. WSTN Digital					Buy (add'l)	2/17/11	J		
112. Wal Mart					Sold (part)	3/3/11	J	A	
113. Yum Brands					Sold	8/11/11	K	D	
114. CMA Money Fund (a)									
115.									
116. Trust #2 (lines 116 -141) (b)	G	Distribution	P1	T					
117. USTN 1.875% due 7/15/19									
118. Apple Inc									
119. Comtech Telecomm									

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120. Garmin					Sold	2/10/11	M	F	
121. General Dynamics					Sold	4/20/11	L	E	
122. Gilead Science									
123. Impax Laboratories					Buy	2/10/11	M		
124. Impax Laboratories					Sold	12/28/11	M		
125. Medco Health Solutions									
126. Microsoft									
127. North Colorado Springs Land & Improvement Co.									
128. Oshkosh Corp					Buy	2/10/11	M		
129. Oshkosh Corp					Sold	11/9/11	L		
130. Power-One Inc					Sold	11/9/11	L		
131. Sandisk									
132. Western Digital					Sold	9/28/11	M		
133. Fiduciary Trust Int'l Money Market (a)									
134. Silvercrest Global Fund (formerly MW Global Partners)									
135. Pershing Sq									
136. Australian Gov't 5.75% due 06/15/2011					Redeemed	6/15/11	M		

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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Name of Person Reporting

Sweet, Robert W.

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05/15/2012

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)
137. Canadian Gov't 2.0% due 09/01/12									
138. Norweign Gov't 6.0% due 05/16/2011					Redeemed	5/16/11	M		
139. Norweign Gov't 6.5% due 05/15/13					Buy	4/19/11	L		
140. European Bank Recon & Dvlp 9.25% due 09/10/2012									
141. JPM Chase Bank-NOK London Time Deposits (d)									
142.									
143. Trust #3 (lines 143 - 167) (b)		None	P1	T					
144. Fiduciary Trust Int'l Money Market (a)									
145. Berkshire Hathaway									
146. Cephalon (cash merger)					Sold	10/17/11	M	E	
147. Dell Inc.					Buy	4/20/11	L		
148. Forest Labs					Sold	2/10/11	L	D	
149. Forest Labs					Buy	8/12/11	M		
150. Forest Labs					Sold (part)	12/22/11	K		
151. GT Solar Int'l					Buy	2/10/11	M		
152. GT Advanced Technology (exch'd for GT Solar Int'l						8/10/11			
153. GT Advanced Technology					Sold (part)	12/28/11	K		

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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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)
154. Intel Corp.					Buy	3/21/11	M		
155. Power-One Inc.					Buy	4/20/11	L		
156. Power-One Inc.					Sold (part)	12/28/11	J		
157. Marvell Technology Group					Buy	5/18/11	M		
158. SPDR Gold Trust									
159. Estes - Sheridan LP									
160. NP Strathan LLC									
161. NP Dover LLC									
162. NP Nashua LLC									
163. NP Fairhaven LLC									
164. NP Hanson LLC									
165. NP Portfolio Account LLC									
166. NPS2 LLC									
167. Execwest LLC									
168.									
169. Citibank money market account	A	Interest	J	T					
170. Citibank checking account		None	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
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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Sweet, Robert W.

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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)

171. JPMorgan Chase checking account		None	J	T					
172.									
173.									
174.									

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	

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

VII. Investments and Trusts

(a) = This is a money market type fund with shares remaining at a constant value of \$1.00. Purchases and sales, with no gain or loss, were made throughout the year.

(b) = Income beneficiary only.

(c) = Shares deemed worthless by broker/dealer on 8/31/11 and removed from portfolio listing.

(d) = A one month JPMorgan Chase Bank - NOK London Time Deposit was purchased 5/23/11 with Value Code M. Upon its maturity the principal and interest was rolled over into the same product and continuously done so upon the maturity of each subsequent monthly time deposit. At 12/31/11, a time deposit due 1/30/12 was held with a Value Code of M.

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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/ **Robert W. Sweet**

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