

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Batts, Deborah A.	2. Court or Organization Southern District of New York	3. Date of Report 05/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 500 Pearl Street Room 2510 New York, New York 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Professor	Fordham University School of Law
2. Adjunct Professor	Yeshiva University
3. Board of Managers	Havens Relief Fund Society
4. Board of Visitors	CUNY School of Law
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. 10/1/84	TIAA-CREF Retirement & Supplemental Annuity Contracts
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. 2013	Fordham University School of Law	\$13,000.02
2. 2013	Yeshiva University	\$14,875.00
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.	
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.				

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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.	Chase	credit card	J
2.	Bank of America	credit card	J
3.	American Express	credit card	J
4.	American Express	credit card	K
5.	Capital One	credit card	K

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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.	TIAA-CREF	E	Int./Div.	N	T				
2.	AXA Accumulator Plus (IRA):AXA Moderate-Plus Portfolio		None	M	T				
3.	ASTI common stock shares		None	J	T				
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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

VI

Items 4 and 5 are [REDACTED] liabilities. In addition to those listed in Part VI, she also has Liabilities to WAMU/CHASE credit card, value code K, CHASE, credit card, value code K, and Bank of America, credit card, value code J.

VII

Financial Disclosure Report for 2012 listed Estate #1. The distribution in 2012 said "part" because it was the final distribution. Thus there is nothing to report in 2013 for this asset.

New Investments and Trusts listed for the first time for 2013 are those of [REDACTED] Our marriage was not recognized by the federal government until 2013 and therefore that is the first year that she is being included on my Financial Disclosure Report.

Item 2 is an IRA managed fund over which she has no control, no ability to direct where to invest and no payout until retirement. I am attaching a list of the companies and securities in which the fund invested as of 12/31/13:

AXA PREMIER VIP TRUST
AXA MODERATE-PLUS ALLOCATION PORTFOLIO
PORTFOLIO OF INVESTMENTS
December 31, 2013

	Number of Shares	Value (Note 1)		Number of Shares	Value (Note 1)
INVESTMENT COMPANIES:					
ATM International Portfolio†	102,925,839	\$1,102,338,381	EQ/MFS International Growth Portfolio†	58,568,053	\$ 432,027,389
ATM Large Cap Portfolio†	159,270,702	2,086,031,807	EQ/PIMCO Ultra Short Bond Portfolio†	59,581,350	589,600,421
ATM Mid Cap Portfolio†	14,922,514	148,397,718	Multimanager Core Bond Portfolio†	11,069,065	109,284,593
ATM Small Cap Portfolio†	50,139,867	657,023,140	Multimanager International Equity Portfolio†	9,548,987	114,913,455
EQ/AllianceBernstein Small Cap Growth Portfolio†	21,666,154	466,305,658	Multimanager Large Cap Core Equity Portfolio†	20,096,768	286,688,971
EQ/AXA Franklin Small Cap Value Core Portfolio†	7,311,980	106,845,456	Multimanager Large Cap Value Portfolio†	20,076,172	272,872,722
EQ/BlackRock Basic Value Equity Portfolio†	15,227,770	301,783,154	Multimanager Mid Cap Growth Portfolio*†	1,389,415	14,111,819
EQ/Boston Advisors Equity Income Portfolio†	38,260,069	259,204,754	Multimanager Mid Cap Value Portfolio†	1,291,330	17,425,307
EQ/Core Bond Index Portfolio†	106,233,908	1,048,267,665	Multimanager Multi-Sector Bond Portfolio†	15,618,663	60,178,239
EQ/GAMCO Small Company Value Portfolio†	3,694,713	206,644,414	Multimanager Small Cap Growth Portfolio*†	14,350,584	178,409,513
EQ/Global Bond PLUS Portfolio†	639,817	5,981,383	Multimanager Small Cap Value Portfolio†	5,364,646	86,767,054
EQ/Global Multi-Sector Equity Portfolio†	16,005,849	236,720,408	Total Investments (100.0%)		11,842,642,718
EQ/Intermediate Government Bond Portfolio†	146,664,129	1,496,372,808	(Cost \$9,329,445,788)		3,668,824
EQ/International Core PLUS Portfolio†	16,108,412	166,116,114	Other Assets Less Liabilities (0.0%)		\$11,846,311,542
EQ/International Equity Index Portfolio†	5,285,319	51,755,782			
EQ/International ETF Portfolio†	8,062,482	52,616,370			
EQ/International Value PLUS Portfolio†	11,270,130	147,011,048			
EQ/Large Cap Core PLUS Portfolio†	22,184,638	193,208,604			
EQ/Large Cap Growth Index Portfolio†	15,407,846	194,091,080			
EQ/Large Cap Growth PLUS Portfolio†	19,587,429	488,732,136			
EQ/Large Cap Value PLUS Portfolio†	18,541,155	264,915,355			

* Non-income producing.

† Affiliated company as defined under the Investment Company Act of 1940.

The holdings in affiliated Investment Companies are all Class K shares.

Investments in companies which were affiliates for the year ended December 31, 2013, were as follows:

Securities	Value December 31, 2012	Purchases at Cost	Sales at Cost	Value December 31, 2013	Dividend Income	Realized Gain (Loss)†
ATM International Portfolio	\$ 1,093,126,496	\$ 82,503,616	\$ 198,961,884	\$ 1,102,338,381	\$ 38,452,027	\$ 50,836,849
ATM Large Cap Portfolio	1,895,473,199	247,400,824	294,258,509	2,086,031,807	13,646,633	297,913,634
ATM Mid Cap Portfolio	208,010,564	34,817,472	100,379,196	148,397,718	459,347	43,545,645
ATM Small Cap Portfolio	567,426,130	113,963,804	99,464,661	657,023,140	1,369,647	127,079,802
EQ/AllianceBernstein Small Cap Growth Portfolio	376,293,852	41,277,674	41,657,249	466,305,658	1,327,063	47,638,784
EQ/AXA Franklin Small Cap Value Core Portfolio	92,440,979	528,817	13,519,774	106,845,456	365,440	4,181,773
EQ/BlackRock Basic Value Equity Portfolio	242,313,249	5,405,143	23,247,496	301,783,154	5,078,388	6,155,597
EQ/Boston Advisors Equity Income Portfolio	219,237,306	32,169,211	21,470,132	259,204,754	5,444,852	32,590,026
EQ/Core Bond Index Portfolio	1,025,836,360	189,748,924	137,874,710	1,048,267,665	15,198,846	(106,032)
EQ/Davis New York Venture Portfolio	4,810,940	—	4,077,740	—	—	1,246,096

See Notes to Financial Statements.

AXA PREMIER VIP TRUST
AXA MODERATE-PLUS ALLOCATION PORTFOLIO
PORTFOLIO OF INVESTMENTS (Continued)
December 31, 2013

Investments in companies which were affiliates for the year ended December 31, 2013, were as follows:

Securities	Value December 31, 2012	Purchases at Cost	Sales at Cost	Value December 31, 2013	Dividend Income	Realized Gain (Loss)†
EQ/GAMCO Small Company Value Portfolio	\$ 170,594,585	\$ 10,309,082	\$ 23,131,081	\$ 206,644,414	\$ 1,005,039	\$ 13,508,760
EQ/Global Bond PLUS Portfolio	—	6,132,968	—	5,981,383	132	132,836
EQ/Global Multi-Sector Equity Portfolio	222,284,422	2,745,403	29,548,516	236,720,408	2,418,648	(145,424)
EQ/Intermediate Government Bond Portfolio	1,465,710,126	257,740,108	198,696,797	1,496,372,808	7,142,103	(225,923)
EQ/International Core PLUS Portfolio	154,280,569	1,922,567	12,474,738	166,116,114	1,759,190	2,226,808
EQ/International Equity Index Portfolio	64,197,177	7,135,250	18,917,127	51,755,782	1,216,872	9,784,419
EQ/International ETF Portfolio	99,160,945	8,141,568	53,141,779	52,616,370	1,913,798	17,017,790
EQ/International Value PLUS Portfolio	128,068,483	13,544,091	17,657,346	147,011,048	1,926,558	(570,501)
EQ/Large Cap Core PLUS Portfolio	164,965,351	9,004,457	18,748,777	193,208,604	1,352,665	10,710,268
EQ/Large Cap Growth Index Portfolio	182,196,403	10,926,684	21,540,764	194,091,080	2,156,871	30,074,470
EQ/Large Cap Growth PLUS Portfolio	412,190,452	2,717,318	35,536,799	488,732,136	1,912,479	26,594,861
EQ/Large Cap Value PLUS Portfolio	300,189,457	3,736,852	63,669,761	264,915,355	3,246,719	53,434,877
EQ/MFS International Growth Portfolio	402,165,649	37,915,509	46,982,477	432,027,389	4,796,179	9,816,128
EQ/Mid Cap Index Portfolio	11,323,755	—	6,515,069	—	—	7,278,589
EQ/PIMCO Ultra Short Bond Portfolio	542,435,705	124,982,706	73,509,244	589,600,421	5,841,982	(1,513)
EQ/Small Company Index Portfolio	19,476,541	25,132	14,419,783	—	—	10,204,099
Multimanager Core Bond Portfolio	99,483,674	28,903,304	14,685,276	109,284,593	1,933,943	322,254
Multimanager International Equity Portfolio	155,940,093	1,739,032	51,046,363	114,913,455	1,575,654	12,655,183
Multimanager Large Cap Core Equity Portfolio	241,877,883	2,752,964	34,491,685	286,688,971	2,383,356	482,806
Multimanager Large Cap Value Portfolio	288,989,931	4,836,852	91,807,121	272,872,722	4,469,252	4,271,358
Multimanager Mid Cap Growth Portfolio	10,979,740	3,639,544	684,319	14,111,819	—	3,955,225
Multimanager Mid Cap Value Portfolio	12,816,274	99,996	—	17,425,307	99,996	—
Multimanager Multi- Sector Bond Portfolio	54,373,965	15,927,932	7,339,118	60,178,239	2,346,244	11,656
Multimanager Small Cap Growth Portfolio	136,166,399	206,230	13,873,330	178,409,513	—	6,399,615
Multimanager Small Cap Value Portfolio	71,218,145	674,860	13,422,505	86,767,054	632,008	148,893
	<u>\$ 11,136,054,799</u>	<u>\$ 1,303,575,894</u>	<u>\$ 1,796,751,126</u>	<u>\$ 11,842,642,718</u>	<u>\$ 131,471,931</u>	<u>\$ 829,169,708</u>

† When applicable, realized gain includes net distributions of realized gain received from Underlying Portfolios.

See Notes to Financial Statements.

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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/ Deborah A. Batts**

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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