

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) BAER, JR., HAROLD	2. Court or Organization US DISTRICT	3. Date of Report 05/07/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address ROOM 2230 US COURTHOUSE 500 PEARL STREET NEW YORK, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of instructions.)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	New York Management Welfare Fund
2. _____	_____
3. _____	_____

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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.	MATTHEW BENDER & CO., INC. - BOOK ROYALTIES	\$ 1006.57
2.	PENSION - NY STATE EMPLOYEES' RETIREMENT SYTEM	\$ 21074.00
3.	NEW YORK STATE BAR ASSOCIATION - BOOK ROYALTIES	\$ 1150.00
4.		
5.		

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.	
5.	

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. ACTIVITY OF PROFESSIONAL ASSOC. FUNDED BY: ALI-ABA	02/20/06 TO 02/25/06 SAN FRANCISCO, CA \$1,838 4 DAYS
2. MEETING OF US SENTENCING COMMITTEES FUNDED BY: FED JUDICIAL CTR	07/23/06 TO 07/26/06 WASHINGTON, DC \$353 3 DAYS
3. 2D CIRCUIT JUDICIAL CONFERENCE FEDERALLY FUNDED	09/07/06 TO 09/09/06 MOHONK, NY \$1,419 2 DAYS
4. MEETING OF MULTI DISTRICT PANEL APPOINTED JUDGES	10/17/06 TO 10/19/06 PALM BEACH, FL \$1,077 3 DAYS

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5. HISTORICAL SEMINAR FUNDED BY: GEORGE MASON
UNIVERSITY FOUNDATION

12/01/06 TO 12/07/06 CAPTIVA, FL \$4,921 7 DAYS

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. WACHOVIA SECURITIES (H)	SECURITIES MARGIN ACCOUNT	J
2. WACHOVIA SECURITIES (W)	SECURITIES MARGIN ACCOUNT	J
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ROCHESTER FUND	C	Dividend	M	T					
2. EXXON MOBIL CORP.	B	Dividend	L	T					
3. HOME DEPOT INC.	A	Dividend	K	T					
4. PROCTOR & GAMBLE CO.	B	Dividend	L	T	PART SALE	3/27 8/25	L	E	
5. SCUDDER GLOBAL FUND	A	Dividend	J	T					
6. VERIZON COMM.	A	Dividend	K	T					
7. INTEL CORP.	A	Dividend	K	T					
8. EXXON MOBILE CORP	A	Dividend			SELL	3/27 8/23	K	E	
9. ROCHESTER MUNICIPAL FUND, INC.	C	Dividend	M	T					
10. FIRST ENERGY CORP.	B	Dividend	K	T	PART SALE	1/3	K	E	
11. PFIZER, INC.	C	Dividend	L	T	PART SALE	3/27	K	E	
12. PUBLIC SERVICE ENTERPRISE					SELL	1/3	K	E	
13. CYPRESS SEMICONDUCTOR CORP		None	K	T					
14. OPPENHEIMER CAPITAL APPREC. FD IRA		None	J	T					
15. QUEST FOR DUAL PURPOSE FUND IRA	A	Dividend	J	T					
16. US SAVINGS BONDS	B	Interest			REDEEMED		K	D	
17. ADVANTAGE PRIM 40 PD (NAME change)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other			
3. Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
CHNGE)									
18. 3.67% INTEREST BUILDING BROOKLYN, NY	B	Rent	J	W					
19. OCC CASH RESERVE	A	Dividend	J	T					
20. OPPENHEIMER QUEST CAPITAL VALUE FUND		None	J	T					
21. PLAINS ALL AMERICAN PIPELINE LP	B	Dividend	K	T	PART SALE	8/23	J	D	
22. SMUCKER J.M. CO	A	Dividend	J	T					
23. MEDCO HEALTH SOLUTIONS	A	Dividend	J	T					
24. GENERAL ELECTRIC	A	Dividend			SALE	3/27	K	E	
25. ICICI BANK LTD	A	Dividend	J	T	BUY	4/20			
26. IDEARC INNC.		None	J	T	SPIN-OFF				
27. I SHARES MSCI		None	K	T	BUY				
28. CAPITAL WORLD GROWTH INCOME FUND	A	Dividend	K	T	BUY				
29. WASHINGTON MUTUAL INV FUND	A	Dividend	K	T	BUY				
30.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated		
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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

Date

NOTE
AND

IF ANYONE FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544