

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2004

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Spatt, Arthur D	2. Court or Organization Eastern District of New York	3. Date of Report 4/29/2005
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior	5. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2004 to 12/31/2004
7. Chambers or Office Address Long Island Federal Courthouse P.O. Box 9014 Central Islip, New York 11722	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 filing instructions)

☒ **NONE** - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.

2.

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

☐ **NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1979

Prior pension and profit-sharing plans rolled over (See Rider 1 annexed hereto)

2.

Individual Retirement "Keogh" Plan (See Rider 2 annexed)

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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>GROSS INCOME</u> (yours, not spouse's)
1.	12/27/89	New York State Retirement Pension	17,242
2.			

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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.		

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>
1.		

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE1.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, 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)
☐ NONE (No reportable income, assets, or transactions)									
1. STOCKS									
2. AIRTOUCH COMMUNICATIONS	A	Dividend	J	T					
3. AMERITECH - COMMON	A	Dividend	J	T					
4. AT&T - COMMON	A	Dividend	J	T					
5. AT&T Wireless Services	A	Dividend	J	T					
6. BELL ATLANTIC - COMMON	A	Dividend	J	T					
7. BELL SOUTH - COMMON	A	Dividend	J	T					
8. CHEVRON - TEXACO	A	Dividend	K	T	add'l shares	9/24	K		
9. COMCAST - COMMON	A	Dividend	J	T					
10. EASTMAN KODAK - COMMON	A	Dividend	J	T					
11. PACIFIC TELESIS - COMMON	A	Dividend	J	T					
12. PEPSICO - COMMON	A	Dividend	K	T					
13. SOUTHWESTERN BELL - COMMON	A	Dividend	J	T					
14. U.S. WEST - COMMON	A	Dividend	J	T					
15. XEROX - COMMON	A	Dividend	J	T					
16. U.S. WEST MEDIA GROUP	A	Interest	J	T					
17. EASTMAN CHEMICAL CO.	A	Dividend	J	T					
18. AIRTOUCH COMMUNICATIONS	A	Dividend	J	T					

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 = \$250,000-\$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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)	(2)	(1)	(2)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)		(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer-seller (if private transaction)
19. LUCENT TECHNOLOGIES, INC.	A	Dividend	J	T					
20. NCR CORP.	A	Dividend	J	T					
21. TRICON GLOBAL	A	Dividend	J	T					
22. SEC COMMUNICATIONS	A	Dividend	J	T					
23. COMPAQ COMPUTER	A	Dividend	K	T					
24. GENERAL ELECTRIC CO.	A	Dividend	J	T					
25. AGERE SYSTEMS, INC.	A	Dividend	J	T					
26. YUM BRANDS, INC.	A	Dividend	J	T					
27. HEWLETT PACKARD CO.	A	Dividend	J	T					
28. QWEST COMMUNICATIONS	A	Dividend	J	T					
29. CHEVRON TEXACO	A	Dividend	J	T					
30. LIMITED PARTNERSHIP									
31. BERKSHIRE LAND VENTURE CO.	A	Dividend	J	U					
32. BERKSHIRE LAND VENTURE CO.	A	Interest	J	U					
33. INTEREST									
34. GREENPOINT SAVINGS BANK including IRA accounts & cash	A	Interest	L	T					
35. Portion of Pension Plan Rolled Over (See Part II)									
36. J.P. Morgan Chase Bank	A	Interest	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 = \$250,000-\$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
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37. BONDS									
38. NEW YORK STATE HOUSING FINANCE AGENCY	D	Interest	L	T					
39. POWER AUTHORITY OF NY	C	Interest	K	T					
40. DORMITORY AUTHORITY OF NY	D	Interest	L	T					
41. DORMITORY AUTHORITY OF NY	D	Interest	L	T					
42. DORMITORY AUTHORITY OF NY	D	Interest	L	T					
43. STATE OF ISRAEL BONDS	A	Interest	J	T					
44. N.Y. STATE THRUWAY	A	Interest	J	T					
45. COUNTY OF WASHINGTON	B	Interest	K	T					
46. LOCKPORT NEW YORK	A	Interest	J	T	Redeemed	3/15	J		
47. NEW YORK STATE URBAN DEV.	A	Interest	J	T					
48. SOMERS NY CENTRAL SCHOOL DIST.	A	Interest	J	T					
49. NY STATE THRUWAY AUTHORITY	A	Interest	J	T					
50. NYC TRANSITIONAL FINANCE AUTH.	A	Interest	J	T					
51. NYS DEPT. OF HEALTH	A	Interest	J	T					
52. N.Y. STATE DORMITORY AUTH. ROCHESTER	A	Interest	K	T					
53. WARWICK NY CENTRAL S/D	A	Interest	K	T					
54. OTSEGO COUNTY	A	Interest	K	T					

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
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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller if private transaction)
55. NEW YORK STATE ENVIRONMENTAL	A	Interest	J	T					
56. BRIARCLIFF MANOR	A	Interest	J	T					
57. GREECE NY CSD	A	Interest	K	T					
58. SCOTIA GLENVILLE, NY	A	Interest	K	T					
59. Rochester, NY	A	Interest	J		Buy	3/28	J		
60. North Colonie School Dist.	A	Interest	K		Buy	8/12	K		
61. Port Authority NY & NJ	A	Interest	K		Buy	8/18 9/10	K		
62. L.I. Power Authority	A	Interest	J		Buy	8/20	J		
63. Triborough Bridge & Tunnel Authority	A	Interest	K		Buy	8/27	K		
64. IRA STOCKS									
65. ALLEGHENY ENERGY INC.	A	Dividend	J	T					
66. AMERICAN ELECTRIC POWER CO., INC.	A	Dividend	J	T					
67. CASCADE NATURAL GAS CORP.	A	Dividend	J	T					
68. CENTRAL & SOUTH WEST CORP.	A	Dividend	J	T					
69. CONNECTIV INC.	A	Dividend	J	T					
70. CONNECTIV INC. CL A	A	Dividend	J	T					
71. ENERGY EAST CORP..	A	Dividend	K	T					
72. ENOVA CORP.	A	Dividend	J	T					

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
73. FPL GROUP INC.	A	Dividend	J	T					
74. FIRST ENERGY CORP.	A	Dividend	J	T					
75. MIDAMERICAN ENERGY HOLDINGS CO.	A	Dividend	J	T					
76. NEVADA POWER CO.	A	Dividend	J	T					
77. NEW ENGLAND ELECTRIC SYSTEM	A	Dividend	J	T					
78. POTOMAC ELECTRIC POWER CO.	A	Dividend	J	T					
79. TEXAS UTILITIES CO. (Holding Co.)	B	Dividend	K	T					
80. TEXAS UTILITIES	A	Dividend	J	T					
81. WESTERN RESOURCES INC. (Western Energy, Inc.)	A	Dividend	J	T					
82. PMC CAPITAL INC.	A	Dividend	J	T					
83. ROCHESTER GAS & ELECTRIC CORP.	A	Dividend	J	T					
84. SEMPA ENERGY	A	Dividend	J	T					
85. SIERRA PACIFIC	A	Dividend	J	T					
86. PEPCO HOLDINGS, INC.	A	Dividend	J	T					
87. EAGLE MERGER CORP.	A	Dividend	J	T					
88. RGS ENERGY GROUP, INC.	A	Dividend	J	T					
89. CORPORATE BONDS									
90. TENNESSEE VALLEY AUTHORITY Power Bond 1993 Series C	A	Interest	J	T					

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91. COMMONWEALTH EDISON CO. 8.625% Due 2/1/2002	A	Interest	J	T					
92. OPPENHEIMER HIGH YIELD FUND A (See Rider 2)	B	Dividend	L	T					
93. WARWICK NY CENT.	A	Interest	K	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

RIDER 1 (Response to "II - AGREEMENTS" -- first page)

As a former participating member of the Spatt & Bauman, P.C. pension and profit-sharing plan, when I withdrew from the firm and the practice of law, my share of the pension plan was severed and "rolled over." The funds were not used and were placed in individual retirement accounts in two types of investments as follows:

- a) bonds and stocks in the aggregate value of \$248,059.84 as of December 31, 2004.
- b) cash in the Greenpoint Savings Bank, Hewlett, New York branch, in the sum of \$24,698.68 as of December 31, 2004.

RIDER 2 (Response to "II - AGREEMENTS" -- first page)

Prior to entering into the Spatt & Bauman, P.C. pension plan, when I was a single practitioner I started an individual retirement "Keogh Plan." When I withdrew from the practice of law, I "rolled over" the Keogh Plan, and it remains in that unused condition. The "Keogh" funds are in an Oppenheimer High Yield Fund and are in the value of approximately \$90,796.85 as of December 31, 2004.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

4/28/05

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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