

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/10/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 225 Cadman Plaza E. Eastern District Court of NY Brooklyn, NY 11201	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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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.		
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.)*

<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. NATIONAL ASSOC. OF CRIMINAL DEFENSE LAWYERS	1/14/2009 to 1/21/2009	ASPEN, CO	EDUCATIONAL SEMINAR	TRANSPORTATION, LODGING AND FOOD
2. NORTHWESTERN UNIVERSITY SCHOOL OF LAW	4/22/2009 TO 4/24/2009	CHICAGO, IL	PROFESSIONAL EDUCATION	TRANSPORTATION, LODGING AND FOOD
3. GEORGE MASON UNIVERSITY SCHOOL OF LAW	11/30/2009 TO 12/6/2009	CAPTIVA ISLAND, FLORIDA	PROFESSIONAL EDUCATION	FOOD AND LODGING
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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. BANK OF AMERICA SER A PFD	A	Interest	K	T	Buy	01/13/09	K		
2. BANK OF AMERICA SER 2 PFD	A	Interest			Sold	05/08/09	K	A	
3. BECTON DICKENSON CO	A	Dividend	K	T	Buy	01/13/09	K		
4. FIRST TR TAX ADVANT. PFD INC FD	A	Dividend			Sold	06/26/09	K		
5. BLACKROCK NY MN 1 TR SBI	C	Dividend	L	T	Buy	06/26/09	J		
6. EATON VANCE INS NY MUN	C	Dividend	L	T					
7. CITIGROUP CAP. VIII DEF INT TRUST PFD STK 6.950% 09/15/31	A	Interest	J	T					
8. EATON VANCE RISK MANGD DIVRS EQ INC FD	C	Dividend	K	T	Buy	07/29/09	K		
9. ABN AMRO CAP FD TR VII PFD NON CUM 6.08% PERP	C	Dividend			Sold	11/10/09	K		
10. ROYAL BK SCOTGRP PLC 6.35% NONCUM PRF SR-N	C	Dividend			Sold	09/15/09	K		
11. BLACKROCK MUNIYIELD NY INS FD INC	A	Dividend	K	T					
12. NUVEEN NY INV QUAL MUNI	C	Dividend	L	T					
13. NUVEEN NY QUAL INC MUNI	C	Dividend	L	T					
14. PIMCO NY MUN INC FD	B	Dividend	K	T					
15. COHEN & STEERS CLOSED END OPPTY FD(2)	A	Dividend	J	T					
16. ISHARES DOW JONES US RE INDEX FD	A	Dividend	K	T	Buy	05/08/09	J		
17. MERRILL LYNCH BANK USA(2)	A	Interest	K	T	Merged (with line 19)				

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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18. FIA CARD SERVICES NA	A	Interest	K	T					
19. SATURNS-GS 2004-2 SER GS 5.75% 2/15/33	B	Interest	K	T					
20. BLACKROCK WORLD INVT TR	A	Dividend			Sold	08/03/09	K		
21. NUVEEN NY PREF PLS MUNI	C	Dividend	L	T	Buy (add'l)	11/10/09	J		
22. RESEARCH IN MOTION LTD		None	J	T					
23. VERIZON COMM COM	B	Dividend	J	T	Buy	05/13/09	J		
24. WESTERN ASST/CLAYMORE US TREAS. INFLATION	B	Dividend			Sold	01/16/09	K		
25. WESTERN ASSET/CLAYMORE INFL.-LNKD OPT & INC FD	B	Dividend	K	T					
26. IRA - F. BLOCK									
27. ALLIED CAPITAL CORP NEW	A	Dividend	J	T					
28. ANNALY CAP MGMT INC	B	Dividend	K	T	Buy (add'l)	07/14/09	J		
29. ARROW ALTERN. SOLUTIONS FD CL A	A	Dividend			Sold	12/15/09	L		
30. BLACKROCK PFD INC STRAT	B	Dividend			Sold	06/29/09	K		
31. BLACKROCK PFD & CORP INC	B	Dividend			Sold	06/29/09	J		
32. CGM ADVISOR TARG.EQ. FD CL C	A	Dividend			Sold	03/06/09	J		
33. DWA TECH LEADERS PORT		None			Sold	07/17/09	J		
34. EATON VANCE DIVIDEND BLDR FD CL C	A	Dividend	K	T					

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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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. EATON VANCE RISK MANAGED DIVRS.EQ. INC FD	A	Dividend			Sold	10/26/09	K		
36. JOHN HANCOCK LG CAP EQ FD CL C	A	Dividend			Sold	06/24/09	K		
37. PIMCO TOTAL RETURN FD CL C	B	Dividend	L	T	Buy (add'l)	12/15/09	J		
38. -MORGAN STANLEY - TR V DEF INT TR PFD 5.75% 7/15/33	A	Interest	J	T					
39. CBS CORP. 7.25% 06/30/51	B	Interest	K	T					
40. -CITIGROUP CAP VIII DEF INT TR PFD STK 6.95% 09/15/31	C	Interest	K	T					
41. -VORNADO REALTY TRUST SER F CUM PFD SHS 6.75% PERP	B	Interest	K	T					
42. AMERICAN FUNDM INVT CL C FD	A	Dividend			Sold	07/15/09	K		
43. AMERICAN CAP WLD GRW & INC CL C	A	Dividend			Sold	07/15/09	K		
44. AMERICAN BOND FD OF AMERICA CL C	C	Dividend	L	T	Buy (add'l)	07/15/09	L		
45. AMERICAN BOND FD OF AMERICA CL C	C	Dividend	L	T	Sold (part)	10/13/09	K		
46. ARROW DWA BALANCED FD CL A	A	Dividend	L	T					
47. BLACKROCK EQUITY DIV FD C	A	Dividend	K	T					
48. BLACKROCK HL SC OPP C		None	K	T	Buy	09/09/09	K		
49. CALAMOS CONV OPP INC FD	C	Dividend	K	T	Buy	06/24/09	K		
50. CALAMOS CONVERTIBLE FD CL C	A	Dividend	K	T	Buy	06/19/09	K		
51. COHEN & STEERS CLOSED END OPPTY FD	B	Dividend	K	T	Buy (add'l)	08/04/09	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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52. -EVERGREEN MANAGED INCOME FUND Multi Sector	C	Dividend	K	T					
53. IVY ASSET STRATEGY FD CL C		None	L	T	Buy (add'l)	03/19/09	J		
54. BLACKROCK ALLOCATION C	A	Dividend			Sold	03/19/09	J		
55. SATURNS-GS 2004-2 SER GS 5.75% 2/15/33	B	Dividend	K	T					
56. THORNBURG INC BUILDER FD CL C	B	Dividend	K	T					
57. -MERRILL LYNCH BANK USA RASP	A	Interest	J	T	Merged (with line 59)				
58. FIA CARD SERVICES NA RASP	A	Interest	K	T					
59. USB CAPITAL VI 5.75% 3/9/35	B	Dividend	K	T	Buy (add'l)	10/21/09	K		
60. -LOOMIS SAYLES INV GRADE BOND FD CL C	C	Dividend	K	T	Sold (part)	06/09/09	K		
61. LOOMIS SAYLES STRAT INC FD CL C	C	Dividend	L	T	Buy (add'l)	10/26/09	K		
62. MFS UTILITIES FD SER TR VI UTL CL C	B	Dividend	L	T	Buy	12/10/09	L		
63. PIMCO ALL ASSET ALL AUTH FD CL C	C	Dividend	K	T	Buy	10/07/09	K		
64. PIMCO REAL RETURN FD CL C	B	Dividend	L	T	Buy	06/04/09	L		
65. NUVEEN QUAL PREF INC 2	C	Dividend			Sold	08/04/09	K		
66. BANK OF SMITHTOWN		None	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 N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Block, Frederic

Date of Report

05/10/2010

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

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