

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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 5/6/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	5. ReportType (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address Long Island Federal Courthouse 1024 Federal Plaza 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.)

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

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. 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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 FINANCIAL
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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	16,990
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	spin-off	4/1	J		
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 - COMMON (STANDARD OIL OF CAL)	A	Dividend	J	T					
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	
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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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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	B	Interest	M	T					
35. Portion of Pension Plan Rolled Over (See Part II)									
36. GREENPOINT SAVINGS BANK (IRA Accounts)	A	Interest	J	T					

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37. HOME SAVINGS OF AMERICA	A	Interest	J	T					
38. BONDS									
39. NEW YORK STATE HOUSING FINANCE AGENCY	D	Interest	L	T	Partial Rede	11/3	J		
40. POWER AUTHORITY OF NY	C	Interest	K	T					
41. DORMITORY AUTHORITY OF NY	D	Interest	L	T	Buy	11/3	J		
42. DORMITORY AUTHORITY OF NY	D	Interest	L	T					
43. DORMITORY AUTHORITY OF NY	D	Interest	L	T					
44. STATE OF ISRAEL BONDS	A	Interest	J	T					
45. N.Y. STATE THRUWAY	A	Interest	J	T					
46. COUNTY OF WASHINGTON	B	Interest	K	T					
47. LOCKPORT NEW YORK	A	Interest	J	T					
48. NEW YORK STATE URBAN DEV.	A	Interest	J	T					
49. SOMERS NY CENTRAL SCHOOL DIST.	A	Interest	J	T					
50. NY STATE THRUWAY AUTHORITY	A	Interest	J	T					
51. NYC TRANSITIONAL FINANCE AUTH.	A	Interest	J	T					
52. NYS DEPT. OF HEALTH	A	Interest	J	T					
53. N.Y. STATE DORMITORY AUTH. ROCHESTER	A	Interest	K	T					
54. WARWICK NY CENTRAL S/D	A	Interest	K	T					

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55. OTSEGO COUNTY	A	Interest	K	T					
56. NEW YORK STATE ENVIRONMENTAL	A	Interest	J	T					
57. BRIARCLIFF MANOR	A	Interest	J	T					
58. GREECE NY CSD	A	Interest	K	T					
59. SCOTIA GLENVILLE, NY	A	Interest	K	T					
60. IRA STOCKS									
61. ALLEGHENY ENERGY INC.	A	Dividend	J	T					
62. AMERICAN ELECTRIC POWER CO., INC.	A	Dividend	J	T					
63. CASCADE NATURAL GAS CORP.	A	Dividend	J	T					
64. CENTRAL & SOUTH WEST CORP.	A	Dividend	J	T					
65. CONNECTIV INC.	A	Dividend	J	T					
66. CONNECTIV INC. CL A	A	Dividend	J	T					
67. ENERGY EAST CORP..	A	Dividend	K	T					
68. ENOVA CORP.	A	Dividend	J	T					
69. FPL GROUP INC.	A	Dividend	J	T					
70. FIRST ENERGY CORP.	A	Dividend	J	T					
71. MIDAMERICAN ENERGY HOLDINGS CO.	A	Dividend	J	T					
72. NEVADA POWER CO.	A	Dividend	J	T					

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73. NEW ENGLAND ELECTRIC SYSTEM	A	Dividend	J	T					
74. POTOMAC ELECTRIC POWER CO.	A	Dividend	J	T					
75. TEXAS UTILITIES CO. (Holding Co.)	B	Dividend	K	T					
76. TEXAS UTILITIES	A	Dividend	J	T					
77. WESTERN RESOURCES INC. (Western Energy, Inc.)	A	Dividend	J	T					
78. PMC CAPITAL INC.	A	Dividend	J	T	merger	11/7	J		
79. ROCHESTER GAS & ELECTRIC CORP.	A	Dividend	J	T					
80. SEMPA ENERGY	A	Dividend	J	T					
81. SIERRA PACIFIC	A	Dividend	J	T					
82. PEPCO HOLDINGS, INC.	A	Dividend	J	T					
83. EAGLE MERGER CORP.	A	Dividend	J	T					
84. RGS ENERGY GROUP, INC.	A	Dividend	J	T	merger	06/01			
85. CORPORATE BONDS									
86. TENNESSEE VALLEY AUTHORITY Power Bond 1993 Series C	A	Interest	J	T					
87. COMMONWEALTH EDISON CO. 8.625% Due 2/1/2002	A	Interest	J	T					
88. OPPENHEIMER HIGH YIELD FUND A (See Rider 2)	B	Dividend	L	T					
89. 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 \$250,541.78 as of December 31, 2003.
- b) cash in the Greenpoint Savings Bank, Hewlett, New York branch, in the sum of \$38,111.63 as of December 31, 2003.

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 \$82,926.03 as of December 2003.

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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

May 6, 2004

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