

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 05/04/2011
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 01/01/2010 to 12/31/2010
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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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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.		
2.		
3.		
4.		
5.		

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. BECTON DICKENSON CO	A	Dividend			Sold	05/18/10	J	A	
2. BLACKROCK NY MUNI INC(NAME CHANGE)	C	Dividend	L	T			J		
3. BLACKROCK MUNIYIELD NY QLT(NAME CHANGE)	C	Dividend	L	T	Buy (add'l)	05/21/10	K		
4. COHEN & STEERS CLOSED END OPPTY FD	A	Dividend	J	T					
5. EATON VANCE INS NY MUN	C	Dividend	L	T					
6. CITIGROUP CAP. VIII DEF INT TRUST PFD STK 6.950% 09/15/31	A	Interest			Sold	09/10/10	J		
7. EATON VANCE RISK MANGD DIVRS EQ INC FD	C	Dividend			Sold	01/05/10	K		
8. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	A	Dividend	K	T	Buy	11/05/10	K		
9. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	K	T	Buy	01/08/10	K		
10. FIA CARD SERVICES NA	A	Interest	J	T					
11. FRONTIER COMM CORP	A	Dividend	J	T	Spinoff (from line 21)	05/07/10	J		
12. NUVEEN NY INV QUAL MUNI	C	Dividend	K	T	Sold (part)	11/02/10	K	A	
13. NUVEEN NY PREF PLS MUNI	C	Dividend	L	T					
14. NUVEEN NY QUAL INC MUNI	C	Dividend	L	T					
15. NUVEEN NY SEL QUAL MUNI	B	Dividend	K	T	Buy	05/21/10	K		
16. PIMCO NY MUN INC FD	B	Dividend	K	T					
17. PRINCIPAL INVESTORS PRF SEC C FD	A	Dividend	K	T	Buy	09/15/10	K		

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
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

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

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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)
18. ISHARES DOW JONES US RE INDEX FD	A	Dividend			Sold	05/06/10	K	D	
19. SATURNS-GS 2004-2 SER GS 5.75% 2/15/33	B	Interest			Sold	09/10/10	K		
20. RESEARCH IN MOTION LTD		None	J	T					
21. VERIZON COMM COM	B	Dividend			Sold	10/12/10	J	B	
22. WESTERN ASSET/CLAYMORE INFL- LNKD OPT & INC FD	B	Dividend	K	T	Sold (part)	09/10/10	J		
23. IRA - [REDACTED]									
24. ALLIED CAPITAL CORP(NEW)	A	Dividend			Merged (with line 25)	04/05/10	J		
25. ARES CAPITAL CORP.	A	Dividend	J	T					
26. ANNALY CAP MGMT INC	B	Dividend			Sold	01/04/10	K	B	
27. EATON VANCE DIVIDEND BLDR FD CL C	A	Dividend			Sold	01/14/10	K		
28. PIMCO TOTAL RETURN FD CL C	B	Dividend	K	T	Sold (part)	04/22/10	K	B	
29. -MORGAN STANLEY - TR V DEF INT TR PFD 5.75% 7/15/33	A	Interest	J	T	Sold (part)	09/15/10	J		
30. CBS CORP. 7.25% 06/30/51	B	Interest			Sold	08/24/10	K		
31. -CITIGROUP CAP VIII DEF INT TR PFD STK 6.95% 09/15/31	C	Interest	J	T	Sold (part)	09/15/10	J		
32. -VORNADO REALTY TRUST SER F CUM PFD SHS 6.75% PERP	B	Interest	J	T	Sold (part)	09/15/10	J		
33. AMERICAN EURO PACIFIC GR FD CL C	A	Dividend	K	T	Buy	01/14/10	K		
34. AMERICAN BOND FD OF AMERICA CL C	C	Dividend			Sold	04/09/10	L	C	

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
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

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

3. Value Method Codes
(See Column C2)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. AMERICAN EURO PACIFIC GR FD CL C	A	Dividend			Sold	05/12/10	K		
36. AMERICAN GROWTH FD OF AMERICA CL C	A	Dividend	K	T	Buy	05/12/10	K		
37. ARROW DWA BALANCED FD CL A	A	Dividend	M	T	Sold (part)	02/11/10	K		
38. ARROW DWA BALANCED FD CL A	A	Dividend	M	T	Buy (add'l)	08/03/10	L		
39. BLACKROCK EQUITY DIV FD C	A	Dividend	L	T	Sold (part)	04/22/10	K		
40. BLACKROCK EQUITY DIV FD C	A	Dividend	L	T	Buy (add'l)	08/03/10	L		
41. BLACKROCK HL SC OPP C		None			Sold	02/11/10	K	B	
42. CALAMOS CONV OPP INC FD	C	Dividend			Sold	06/04/10	K		
43. CALAMOS CONVERTIBLE FD CL C	A	Dividend			Sold	02/11/10	K	B	
44. CALMOS STRAT TOT RET RETURN FD	A	Dividend	K	T	Buy	01/04/10	K		
45. COHEN & STEERS CLOSED END OPPTY FD	B	Dividend			Sold	10/07/10	K		
46. EATON VANCE RISK MNGD DIV.EQ INCM FD	A	Dividend	K	T	Buy	06/04/10	K		
47. -EVERGREEN MANAGED INCOME FUND Multi Sector	C	Dividend			Merged (with line 48)	07/13/10	K		
48. WELLS FARGO ADVANTAGE MULTI SECTOR INC. FD.	B	Dividend	K	T					
49. INVESCO VAN KMPN BD FD INC	A	Dividend	L	T	Buy	02/11/10	K		
50. INVESCO VAN KMPN BD FD INC	A	Dividend	K	T	Sold (part)	10/19/10	K	A	
51. IVY ASSET STRATEGY FD CL C		None			Sold	08/03/10	L		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

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R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

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☐ NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. J HANCOCK INC SEC	A	Dividend	J	T	Buy	08/31/10	J		
53. J HANCOCK PREF INC 2	A	Dividend	K	T	Buy	08/24/10	K		
54. SATURNS-GS 2004-2 SER GS 5.75% 2/15/33	B	Dividend	K	T	Redeemed (part)	11/05/10	K		
55. THORNBURG INC BUILDER FD CL C	B	Dividend	L	T					
56. FIA CARD SERVICES NA RASP	A	Interest	J	T					
57. USB CAPITAL VI 5.75% 3/9/35	B	Dividend			Sold	03/05/10	K	A	
58. -LOOMIS SAYLES INV GRADE BOND FD CL C	C	Dividend			Sold	01/04/10	J		
59. LOOMIS SAYLES STRAT INC FD CL C	C	Dividend	L	T	Buy (add'l)	03/05/10	K		
60. LORD ABBETT FLOATING FD CL C	A	Dividend	L	T	Buy	09/28/10	K		
61. MFS UTILITIES FD SER TR VI UTL CL C	B	Dividend			Sold	12/17/10	L	A	
62. NUVEEN BUILD AMER BD FD	A	Dividend	K	T	Buy	04/27/10	K		
63. NUVEEN BUILD AMER BD FD	A	Dividend	K	T	Sold (part)	08/31/10	K	A	
64. NUVEEN QUAL PREF INC 2	A	Dividend	K	T	Buy	08/24/10	K		
65. NUVEEN QUAL PREF INC 3	A	Dividend	J	T	Buy	08/24/10	J		
66. PIMCO ALL ASSET ALL AUTH FD CL C	C	Dividend	M	T	Buy (add'l)	01/25/10	L		
67. PRINCIPAL INVESTORS PRF SEC C FD	A	Dividend	K	T	Buy	09/15/10	K		
68. PIMCO REAL RETURN FD CL C	B	Dividend			Sold	02/25/10	M	D	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. PRUDENTIAL JENNISON EQ INC FD CL C	B	Dividend	L	T	Buy	04/22/10	K		
70. PRUDENTIAL TOTAL RETURN BD FD CL C	A	Dividend	K	T	Buy	04/22/10	K		
71. PUTNAM VOYAGER FD CL C	A	Dividend	K	T	Buy	12/17/10	K		
72. BANK OF SMITHTOWN		None	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

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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: s/ **Frederic Block**

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)

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