

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) Patterson, Jr., Robert P.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 05/14/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior)	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 U.S. District Court Chambers 2550, 500 Pearl St. 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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Managers	The Havens Relief Fund Society
2.	
3.	
4.	
5.	

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CLERK OF COURT OFFICE

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Patterson, Jr., Robert P.

Date of Report

05/14/2010

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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Patterson, Jr., Robert P.

Date of Report

05/14/2010

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. John Hancock	Insurance Policy Loan	J
2. National Life Insurance	Insurance Policy Loan	J
3. New England Life (now Met Life)	Insurance Policy Loan	J
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Patterson, Jr., Robert P.

Date of Report

05/14/2010

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. Vanguard Group (Keogh) Windsor II Fund	E	Dividend	O	T		01/15/09	K		Partial mandatory redemption
2. Vanguard Group (Keogh) Int. Term Corp. Fund	E	Interest	N	T		01/15/09	K		Partial mandatory redemption
3. Metropolitan Life Ins.	A	Dividend	J	T					
4. Clarkstown School Dist. 4.5% 4/15/10	B	Interest	L	T					
5. New Rochelle City 4% 9/1/03	B	Interest	K	T					
6. N.Y. State Env. Fac. 5.6% 9/15/13	A	Interest	J	T					
7. N.Y. State Env. Fac. 5.25% 6/15/14	C	Interest	L	T					
8. Otsego Cnty NY Indl. Dev. Agy 5.125% 11/1/12	C	Interest	L	T					
9. Orleans County, NY 4.9% 12/15/14	B	Interest	K	T					
10. Chase Bank IRA Cash Equivalent	A	Interest	J	T					
11. Chase Bank IRA Cash Equivalent	A	Interest	J	T					
12. Capital One Bank	A	Interest	J	T					Formerly Greenpoint Saving
13. NY Money Fund Premier	A	Interest	M	T		01/10/09			Formerly NY Tax Free Incom
14. Nucor	A	Dividend	K	T	Buy	01/07/09	J		
15. Nucor	A	Dividend	K	T	Buy	07/23/09	J		
16. ICX Technology Inc.		None	K	T	Buy	12/17/09	J		
17. ICX Technology Inc.		None	K	T	Buy	12/18/09	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	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 8

Name of Person Reporting

Patterson, Jr., Robert P.

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05/14/2010

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18. Copart, Inc.		None	K	T					
19. Dril-Quip Corp. CL-B		None	K	T					
20. Google, Inc.		None	K	T	Buy	04/02/09	J		
21. Ericsson L M Tel Co.	A	Dividend	K	T	Buy	04/03/09	K		
22. Exxon Mobil Corp.	B	Dividend	K	T					
23. IBM	A	Dividend	L	T					
24. Helmerich & Payne Inc.	A	Dividend			Sold	08/05/09	J	C	
25. Medco Health Solutions		None	K	T					
26. Monster Worldwide, Inc.		None	K	T	Buy	12/14/09	K		
27. Questar Corp.	A	Dividend	K	T					
28. Proctor & Gamble	A	Dividend	K	T					
29. Teleflex Inc.	A	Dividend	K	T					
30. TESCO Corp.		None	J	T					
31. Igene Biotechnology Inc. (WTS)		None	J	T					No value
32. N.Y.S. Power Authority 5.625% 1/1/10	A	Interest	J	T					
33. Progress Energy, Inc. Contingent Value Obligation		None	J	T					No value
34. Ultra Life Batteries		None	J	T	Sold (part)	12/01/09	J		Loss

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Patterson, Jr., Robert P.

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35. Bank of America	A	Dividend	K	T	Buy	12/03/09	K		
36. JP Morgan Chase PFD Equity Depository Shares	A	Dividend	K	T	Buy	03/19/09	J		
37. New York NY for Prior Issues Due 8/1/13	B	Interest	J	T	Buy	01/21/09	L		
38. New York NY GO BDS Bonds 2006J Due 6/1/27	C	Interest	M	T	Buy	01/08/09	M		
39. New York ST DORM AUTH REVS Due 7/1/21	C	Interest	L	T	Buy	12/19/09	L		
40. Triborough Bridge & Tunnel Auth Due 11/16/17	C	Interest	L	T	Buy	07/15/09	L		
41. New York City Transitional Due 8/1/18	A	Interest	L	T	Buy	10/26/09	L		
42. New York ST DORM AUTH REVS Due 7/1/21	C	Interest	L	T	Buy	02/19/09	L		
43.									
44.				W					
45.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Patterson, Jr., Robert P.

Date of Report

05/14/2010

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

Through an oversight due to change of clearing broker in January 2007, I failed to list a purchase by [REDACTED] of Symbol Technologies in my May 2006 Financial Disclosure Report. Purchase was on 5/8/06 for just over \$15,000. Sale was made on 1/10/07, as reflected in this Report for 2007.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Patterson, Jr., Robert P.

Date of Report

05/14/2010

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