

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 04/10/2007
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
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 instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Officer	Frederic Block, P.C.
2.	
3.	
4.	
5.	

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FINANCIAL
DISCLOSURE OFFICE

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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.		
5.		

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. 2006	NEW YORK STATE TEACHERS' RETIREMENT	
2.		
3.		
4.		
5.		

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. ALLIED CAPITAL CORP.	B	Dividend	K	T					
2. AMERICA MOVIL SER L ADR (1)	A	Dividend	K	T	part. sell	7/24	J	D	
3. CITIGROUP INC. (1)	A	Interest	J	T					
4. DNP SELECT INCOME FD INC.	B	Dividend	K	T					
5. DOW CHEMICAL(1)	A	Dividend			sell	6/14	K	C	
6. INTERNET HOLDERS DEP RCPT(1)					sell	7/24	J		
7. LYONDELL CHEMICAL PV(1)	A	Dividend			sell	2/23	J	A	
8. NORTHFORK now CAPITAL ONE FIN.(1)	A	Dividend	J	T					
9. GENERAL ELECTRIC(1)	A	Dividend	K	T					
10. CHEVRON/TEXACO CORP.(1)	A	Dividend	K	T					
11. ALLIED CAPITAL CORP.(1)	B	Dividend	K	T					
12. DNP SELECT INCOME FUND INC.(1)	B	Dividend	K	T					
13. NORTH FORK now CAPITAL ONE FIN.	A	Dividend	J	T					
14. BLACKROCK INCM TR INC(1)	A	Dividend	K	T					
15. BLACKROCK INCM TR INC	B	Dividend	K	T					
16. BLACKROCK NY MN 1 TR SBI	C	Dividend	L	T					
17. EATON VANCE TAX ADV. DIV. INC.	B	Dividend	K	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 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
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☐ 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				
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FD.									
18. ACE LIMITED DEP SHR REP 1/10 CUM RED 7.8% SER C(1)	A	Interest	J	T					
19. KIMCO REALTY CORP. DEP SHR REP 1/10 CUM RD 6.65% PFD SHR (1)	A	Interest	J	T					
20. CITIGROUP CAP. VIII DEF INT TRUST PFD STK 6.950% 09/15/31	B	Interest	K	T					
21. GENERAL MOTORS ACEP CORP PUBLIC INC NOTES 7.35% 08/08/32	B	Interest			SELL	11/3	J		
22. GENERAL ELECTRIC CAPTL SENIOR NOTED PFD 5.875% 2/18/33(1)	B	Interest	K	T					
23. VIRGINIA POWER CAP TR II GRD TR PFD SECS 7.375% 07/30/42	B	Dividend	K	T					
24. CITIGP CAPITAL VIII DEF INT TRUST PFD STK 6.959% 09/15/31(1)	B	Interest	K	T					
25. VIRGINIA POWER CAP TR II GTD TR PFD SECS 7.375% 07/30/42(1)	B	Dividend			sell	6/21	K		
26. WELLS FARGO CAP VIII 5.625% 8-1-33(1)	B	Dividend	K	T	buy	6/21	K		
27. BAYSHORE NY UN FREE SCH 4.25% 1-15-24(1)	B	Interest	K	T	buy	7/24	K		
28. LONG ISLAND PWR AT NY EL 4.5% 12-1-24(1)	B	Interest	K	T	buy	7/24	K		
29. METRO TRANSIT 5.75 7/13	A	Interest	J	T					
30. NY NYC MUN WFA 4.5% 6-15-36(1)	B	Interest	K	T	buy	7/28	K		
31. NYS EFC ST CLN DRKG SER A 4.25% 11-15-19(1)	B	Interest	K	T	buy	7/24	K		
32. NEW ROCHELLE NY PUB INPT SER A 4.125% 3-15-22(1)	B	Interest	K	T	buy	7/26	K		
33. NYS SER A 4% 3-15-22(1)	A	Interest	K	T	buy	7/25	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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34. NYC IND DEV 6.0 1/15	B	Interest			sell	1/26	K		
35. NYC NY SER H 5.00 03/15/29(1)	A	Interest	J	T					
36. NYS URBAN DEV 5.375 01/01/25(1)	B	Interest			redeem	1/3	K		
37. HARTFORD DIRECTOR(1)		None	N	T					
38. ABN AMRO CAP FD TR VII PFD NON CUM 6.08% PERP	A	Dividend	K	T					
39. ROYAL BK SCOT GRP PLC 6.35% NONCUM PRF SR-N	A	Dividend	K	T					
40. WALT DISNEY SR PFD NOTES 7% 11/01/31	A	Dividend			sell	11/22	K		
41. CATERPILLAR INC DEL	A	Dividend			sell	8/24	K	C	
42. BLACKROCK MUNIYIELD NY INS FD INC	A	Dividend	K	T					
43. NUVEEN NY QUAL INC MUNI	A	Dividend	J	T					
44. PIMCO NY MUN INC FD	A	Dividend	K	T					
45. MASCO CORP(1)	A	Dividend			sell	7/24	J		
46. MORTGAGE IT HOLDINGS INC(1)	A	Dividend	J	T					
47. PIEDMONT NATRL GAS NC(1)	A	Dividend			sell	7/24	K	B	
48. AXAENTERPRISE MERGERS % AQUIS. FD CL C (1)		None			sell	7/24	K	A	
49. ML GLOBAL ALLOC. C (1)	A	Dividend			sell	7/24	K	A	
50. US TREASURY NOTE 3.125% 10/15/08(2)	B	Interest			sell	12/21	L		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	I1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	I2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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51. NY TWY AT HWY-BRDG (2)	A	Interest			sell	12/22	K		
52. ACTIVISION INC COM NEW(2)		None			sell	6/15	J		
53. AMGEN INC COM PV (2)		None			sell	4/20	K		
54. CAREMARK RX INC(2)		None			sell	4/20	J		
55. COMVERSE TECH.(2)		None			sell	5/17	J		
56. CONOCOPHILLIPS(2)	A	Dividend			sell	5/12	K	A	
57. CSX CORP(2)	A	Dividend			sell	5/17	K	D	
58. GLAXOSMITHKLINE PLC ADR(2)	A	Dividend			sell	10/30	J	A	
59. INCO LTD(2)	A	Dividend			sell	5/10	K	D	
60. ISHARES DJ US CONSUMER GOODS SEC IND FD(2)	A	Dividend			sell	12/21	K	A	
61. ISHARES DJ US ENERGY SEC IND FD(2)	A	Dividend			sell	9/6	K	C	
62. ISHARES DJ US REAL ESTATE IND FD(2)	A	Dividend			sell	12/21	K	B	
63. ISHARES MSCI JAPAN IND FD(2)	A	Dividend			sell	12/21	J	B	
64. ISHARES S&P SMALLCAP IND. FD (2)	A	Dividend			sell	5/12	K	B	
65. JM SMUCKER CO(2)	A	Dividend			sell	4/20	J		
66. JUNIPER NETWORKS INC(2)		None			sell	6/15	J		
67. LYONDELL CHEMICAL PV(2)	A	Dividend			sell	4/20	J		

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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68. MORTGAGEIT HOLDINGS INC(2)	A	Dividend			sell	12/21	J		
69. PROCTOR & GAMBLE CO(2)	A	Dividend			sell	12/21	J	B	
70. RAYTHEON CO DELAWARE NEW(2)	A	Dividend			sell	4/20	J	B	
71. RYDEX ETF TR INDEX FD(2)	A	Dividend			sell	6/15	L	B	
72. S&P500 EQUAL WEIGHTED(2)	A	Dividend			sell	6/15	K	A	
73. SCHLUMBERGER LTD(2)	A	Dividend			sell	5/17	K	D	
74. SIRIUS SATELLITE RADIO(2)		None			sell	12/21	J		
75. TRANSOCEAN INC (2)		None			sell	6/16	J	B	
76. AMERICAN CAPITAL WLD G&I CL C(2)	A	Dividend	K	T	buy	10/2	K		
77. AMERICAN CAP INC BUILDER CL C(2)	B	Dividend	L	T	buy	8/14	L		
78. AMERICAN BLNCD CL C(2)	A	Dividend	K	T	BUY	10/6	K		
79. AXA ENTERPRISE MERG & ACQUI. FD CL C (2)		None	K	T					
80. FRANKLIN CONV. SEC. FD CL A (2)	A	Dividend			sell	10/6	K	A	
81. HOTCHKIS & WILEY ALL CAPVAL FD CL C(2)		None			sell	10/6	K		
82. BLACKROCK EQUITYFD C(2)	A	Dividend	L	T	buy	8/14	L		
83. ML GLOBAL ALLOC. C new name BLACKROCK(2)	A	Dividend	L	T					
84. COHEN & STEERS CLOSED END	B	Dividend	K	T	buy	11/20	K		

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OPPTY FD(2)									
85. COLUMBIA TECH FD CL C(2)		None	K	T	buy	4/20	K		
86. DIAMOND HILL LONG SHORT FD CL C(2)	A	Dividend	L	T	buy	9/18	L		
87. PHOENIX REAL ESTATE SEC FD C(2)	A	Dividend	K	T	buy	2/22	K		
88. ROCHESTER LTM TERM NY MUN FD CL C(2)	B	Dividend	L	T	buy	2/22	K		
89. OPPENHEIMER REAL ASSET FD CL A (2)	A	Dividend			sell	9/6	J		
90. MERRILL LYNCH BANK USA(2)	A	Interest	J	T					
91. MERRILL LYNCH BANK & TRUST(2)	A	Interest	K	T					
92. MERRILL LYNCH BANK USA(1)	A	Interest	L	T					
93. MERRILL LYNCH BANK & TRUST (1)	A	Interest	J	T					
94. MERRILL LYNCH BANK USA	A	Interest	K	T					
95. MERRILL LYNCH BANK & TRUST		None			closed	9/29	J		
96. ALGER CAPITAL APPRECIATION CL B (4)		None	J	T					
97. SELIGMAN COMM & INF FD CL A (4)		None	J	T					
98. IRA - F. BLOCK									
99. -ALLIED CAPITAL CORP. NEW	C	Dividend	K	T					
100. COMCAST CORP.USCRD NOTES SER B	B	Dividend	K	T	buy	9/14	K		

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 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
2. Value Codes (See Columns C1 and D3)					
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7% 9-15-55									
101. -DNP SELECT INCOME FD INC	B	Dividend	K	T					
102. -NEWCASTLE INVESTMENT CRP REITS DIVERS.	C	Dividend	K	T					
103. -WORTHINGTON INDUSTRIES OHIO	A	Dividend			sell	4/20	J		
104. -GEORGIA PWR CAP TRUST V DEF INT TR PFD 7.125% 03/31/42	B	Interest	K	T					
105. -GENERAL ELECTRIC CAPTLSENIOR NOTES PFD STK 5.875% 2/18/33	B	Interest	K	T					
106. -MERRILL LYNCH & CO SRUS SER MLNP 4.15 10/4/11	B	Interest	K	T					
107. -MORGAN STANLEY - TR V DEF INT TR PFD 5.75% 7/15/33	B	Interest	K	T					
108. -HERTZ CORP. NOTES 7.4% 03/01/11	C	Interest	K	T					
109. -AETNA INC SR NOTES 8.5% 08/31/41	C	Interest			sell	6/19	K		
110. CBS CORP.new name-VIACOM INC SR RETAIL DEB 7.25% 06/30/51	B	Interest	K	T					
111. -CITIGROUP CAP VIII DEF INT TR PFD STK 6.95% 09/15/31	C	Interest	L	T					
112. -WELLS FARGO TR VI TRUST PFD SEC 6.95% 04/15/32	C	Interest	L	T					
113. -VERIZON NEW - SR NOTES 7% 5/15/42	C	Interest	K	T					
114. -VIRGINIA POWER TR II GTD TR - SECS 7.375% 07/30/42	C	Interest	K	T					
115. -VORNADO REALTY TRUST SER F CUM PFD SHS 6.75% PERP	C	Interest	L	T					
116. ALLIANZ NFJ DIVD VALUE CL C	A	Dividend	K	T	buy	11/22	K		

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 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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04/10/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 I (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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code I (A-H)	(5) Identity of buyer/seller (if private transaction)
117. AMERICAN FUNDM INVT CL C FD	A	Dividend	L	T	buy	4/17	L		
118. AMERICAN CAP WLD GRW & INC CL C	A	Dividend	L	T	buy	4/17	L		
119. AMERICAN CAP INC BUILDER CL C	B	Dividend	L	T	buy	9/13	L		
120. BLACKROCK EQUITY DIV FD C	A	Dividend	L	T	buy	6/28	L		
121. -BLACKROCK INCM TR INC	B	Interest	K	T					
122. COHEN & STEERS CLOSED END OPPTY FD	B	Dividend	K	T	buy	11/20	K		
123. -EVERGREEN MANAGED INCOME FUND	C	Dividend	K	T					
124. FRANKLIN TEMPLETON HARD CURRCY FD	A	Dividend	K	T	buy	4/17	K		
125. -HANCOCK JOHN INC S T SBI	C	Dividend	K	T					
126. -BLACKROCK new name ML GLOBAL ALLOCATION C	A	Dividend	L	T					
127. -MFS GOVT MKTS INC TR SBI	B	Dividend	K	T					
128. -MFS INTER INCM TR SBI	B	Dividend			sell	10/31	K		
129. THORNBURG CORE GRTH FD CL C		None	K	T	buy	4/24	K		
130. -MERRILL LYNCH BANK USA RASP	A	Interest	K	T					
131. -US TREASURY NOTE 3.5% 02/15/10	B	Interest		T	sell	12/13	K	A	
132. US TREASURY NOTE 4.5% 11-15-15	A	Interest	K	T	buy	8/24	K		
133. US TREASURY NOTE 4.5% 11-15-15	A	Interest			sell	12/12	K	A	

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 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H = \$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 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$55,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
134. -GENERAL MOTORS ACCP CORP SR NOTES 7.25% 02/07/33	A	Dividend			sell	11/3	K	A	
135. -PUBLIC STORAGE PFD STK SER D 6.180% PERP	B	Dividend	K	T					
136. -WALT DISNEY CO SR PFD NOTES 7% 11/01/31	A	Dividend	K	T	redeemed	11/22	K		
137. -COHEN STEERS REIT & UTILITIES INC FD	A	Dividend	K	T					
138. -DLP INC	A	Dividend			sell	4/20	J		
139. -DUKE ENERGY CORP NC NPV	A	Dividend			sell	4/20	J		
140. -ENHANCED EQUITY YIELD FD INC	A	Dividend			sell	8/29	K		
141. -REITS-DIVERSIFIED combined with line 85		None							
142. -SUNAMERICA FOCUSED ALPHA GR FD INC	A	Dividend			sell	8/24	K		
143. -JENNISON 20/20 FOCUS FD CL C		None	K	T					
144. -OPPENHEIMER REAL ASSET FD CL A	A	Dividend			sell	4/20	K		
145. -LOOMIS SAYLES INV GRADE BOND FD CL C	C	Dividend	L	T					
146. -LOOMIS SAYLES STRATEGIC INC FD CL C	B	Dividend			sell	4/27	K	A	
147. -PIMCO FLOATING INC FD CL C	A	Dividend	J	T					
148. BANK OF SMITHTOWN		None	J	T					
149. WASHINGTON MUTUAL	A	Interest	J	T	cd redeem	12/13	K	A	

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 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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Name of Person Reporting

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

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Block, Frederic

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04/10/2007

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

Date

May 1, 2007

NOTE: ANY INDIVIDUAL WHO KNOWINGLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. § 7353)

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