

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) BAER, JR., HAROLD	2. Court or Organization US DISTRICT	3. Date of Report 05/12/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address ROOM 2230 US COURTHOUSE 500 PEARL STREET 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. _____	_____
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. _____	NEW YORK MANAGEMENT WELFARE FUND
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.	MATTHEW BENDER & CO., INC. - BOOK ROYALTIES	\$1,664.00
2.	PENSION - NY STATE EMPLOYEES' RETIREMENT SYSTEM	\$21,650.00
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. FJC EDUCATIONAL SEMINAR	01/10/2008-01/12/2008	STANFORD, CA	LODGING & TRANSPORTATION	
2. NON-FJC EDUCATIONAL SEMINAR	01/27/2008 - 02/03/2008	NEVIS, BAHAMAS	LODGING & TRANSPORTATION	
3. FJC EDUCATIONAL SEMINAR	03/09/2008 -03/12/2008	REDONDO BEACH, CA	LODGING & TRANSPORTATION	
4. MEETING OF CIRCUIT JUDICIAL COUNCIL/COMMITTEE	06/10/2008 - 06/07/2008	NEW PALTZ, NY	LODGING & TRANSPORTATION	
5. NON-FJC EDUCATIONAL SEMINAR	06/10/2008 - 06/11/2008	BOSTON, MA	LODGING & TRANSPORTATION	

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6. NON-FJC EDUCATIONAL S
EMINAR

10/23/2008 - 10/26/20
08

LAJOLLA, CA

LODGING & TRANSPOR
TATION

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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. WACHOVIA SECURITIES (H)	SECURITIES MARGIN ACCOUNT	J
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) 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. ROCHESTER FD	B	Dividend	M	T					
2. EXXON MOBILE CORP	A	Dividend	K	T	Sold (part)	6/24	J	A	
3. HOME DEPOT INC.	A	Dividend	J	T					
4. PROCTOR & GAMBLE CO.	B	Dividend	K	T					
5. DWS SCUDDER GLOBAL FUND	A	Dividend	J	T					
6. INTEL CORP	A	Dividend	J	T					
7. ROCHESTER MUNICIPAL FUND, INC. (H)	B	Dividend			Sold	12/30	K	A	
8. FIRST ENERGY CORP	B	Dividend	K	T					
9. PFIZER, INC	C	Dividend	K	T	Sold (part)	6/24	J	A	
10. CYPRESS SEMICONDUCTOR CORP		None	J	T					
11. OPPENHEIMER CAPITAL APPRE. FD IRA		None	K	T					
12. QUEST FOR DUAL PURPOSE FUND IRA		None			Sold	1/01	J	A	
13. OCC CASH RESERVE		None			Sold	1/1	J	A	
14. OPPENHEIMER QUEST CAPITAL VALU E FUND		None			Sold	1/1	J	A	
15. 3.67% INTEREST BUILDING BROOKL YN, NY	B	Rent	J	W					
16. PLAINS ALL AMERICAN PIPELINE LP	B	Dividend	J	T					
17. MEDCO HEALTH SOLUTIONS	A	Dividend	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)					

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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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18. GENERAL ELECTRIC	A	Dividend	J	T					
19. ICICI BANK LTD	A	Dividend	J	T					
20. IDEARC INC	A	Dividend	J	T					
21. 1 SHARES MSCI	A	Dividend	J	T					
22. CAPITAL WORLD GROWTH INCOME FUND	A	Dividend	K	T					
23. ASBURY AUTOMOBILE GROUP	A	Dividend			Sold	12/29	J	A	
24. SOUTHWEST AIRLINES CO.	B	Dividend			Sold	12/30	J	A	
25. INTERACTIVE BROKERS GROUP		None			Sold	1/1	J	A	
26. 1 SHARES TR S&P GLOBAL FIN'LS	A	Dividend	J	T	Buy	10/1	J		
27. SUNPOWER CORP		None	K	T	Spinoff (from line 10)	9/19			
28. OPPENHEIMER AMT-FREE NY MUNICI PAL FUND		None	K	T	Buy	12/30	K		
29. OPPENHEIMER NEW YORK MUNICI PAL FUND		None	K	T	Buy	12/30	K		
30.									
31.									
32.									

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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 \$5,000,000	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	

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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.

 5/14/09

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