

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) MAAS, FRANK S.	2. Court or Organization Southern District of New York	3. Date of Report 06/04/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States District Court 500 Pearl Street, Room 740 New York, New York 10007		
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.		

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. Vice President	Owners, Inc.
2. Trustee	Family Trust II
3. Member	Executive Committee, New York State Bar Association, Commercial and Federal Litigation Section
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1.	
2. 2013	
3. 2013\	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. CGOC Summit	3/13-16	Newport Beach, California	Conference	Lodging, Meals, and Transportation
2. Digital Government Institute	4/3-4	Washington, DC	Conference	Lodging, Meals, and Transportation
3. E-Discovery Project Management Summit	5/21-22	Pittsburgh, PA	Conference	Lodging, Meals, and Transportation
4. Conference on Preservation Excellence	9/18-19	Portland, OR	Conference	Lodging, Meals, and Transportation
5. Electronic Discovery Institute	10/15-17	Santa Monica, CA	Conference	Lodging, Meals, and Transportation
6. The Sedona COnference	11/7-8	Phoenix, AZ	Conference	Lodging, Meals, and Transportation

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7.	Georgetown University	11/21-22	Tysons Corners, VA	Conference	Lodging, Meals, and Transportation
8.	NYSBA Commercial & Federal Litigation Section	5/3-5	Saratoga Springs, NY	Conference	Lodging and Meals

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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) 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Abbott Laboratories Common	A	Dividend	J	T					
2. Abbvie Common	A	Dividend	K	T	Spinoff (from line 1)	1/1/13	K		
3. American Electrical Power Common	A	Dividend	J	T					
4. Amgen Common		None	K	T					
5. AT&T Common	B	Dividend	K	T					
6. Bank of New York Common	B	Dividend	L	T					
7. BP Amoco PLC ADRs	B	Dividend	J	T					
8. ChevronTexaco Common	A	Dividend	K	T					
9. Comcast Corp. Class A Common	A	Dividend	K	T					
10. Conoco Class B Common	B	Dividend	K	T					
11. Dominion Resources Common	B	Dividend	L	T					
12. DuPont Common	A	Dividend	K	T					
13. Exelon Common	A	Dividend	J	T					
14. Exxon Mobil Common	B	Dividend	M	T					
15. Fairpoint Communications Common	A	Dividend	J	T					
16. Frontier Communications	A	Dividend	J	T					
17. General Electric Common	A	Dividend	J	T					

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	

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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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18. General Mills Common	A	Dividend	K	T					
19. Hospira Common		None	J	T					
20. Idearc Common		None	J	T					
21. International Business Machines Common	A	Dividend	L	T					
22. JP Morgan/Chase Common	A	Dividend	J	T					
23. Monsanto Common	A	Dividend	K	T					
24. OGE Energy Corp Common	A	Dividend	K	T					
25. Pfizer Common	C	Dividend	M	T					
26. Phillips 66 Common	A	Dividend	K	T					
27. Plains All American Pipelines LP Unit Ltd P'Ship Interest		None	K	T					
28. PP&L Resources Common	A	Dividend	K	T					
29. Verizon Communications Common	B	Dividend	K	T					
30. Vodafone PLC New Group	A	Dividend	K	T					
31. Wells Fargo	A	Dividend	J	T					
32. Weyerhaeuser Common	C	Dividend	J	T					
33. Zoetis Common	A	Dividend	J	T	Spinoff (from line 25)	06/27/13	J		
34. Fidelity NY Muni Money Market Fund	B	Dividend	L	T					

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	
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35. Fidelity Tax-FreeMoney Market Fund	A	Dividend	K	T					
36. Alliance Municipal Income Fund--NY Portfolio, Class A	A	Dividend	K	T					
37. Alliance Bond Fund US Gov't Portfolio Class A	A	Dividend	J	T					
38. Franklin Insured NY Tax Free Income Fund	B	Dividend	L	T					
39. Franklin NY Tax Free Income Fund	B	Dividend	L	T					
40. Putnam Amer. Gov't Income Fund Class A	B	Dividend	K	T					
41. NY Insured Municipals Income Trust	A	Dividend	J	T					
42. Express Scripts Holding Co Common	A	Dividend	J	T					
43. Frontier Communications Common	A	Dividend	J	T					
44. GE Common	A	Dividend	J	T					
45. Medco Health Solutions Common		None	J	T					
46. Merck Common	A	Dividend	J	T					
47. Pfizer Common	C	Dividend	M	T					
48. Sensient Common	B	Dividend	L	T					
49. Cisco Common		None	K	T					
50. Citigroup Common		None	J	T					
51. Fairpoint Communications Common		None	J	T					

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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	
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52. JP Morgan/Chase Common	A	Dividend	K	T					
53. Travelers Common	A	Dividend	J	T					
54. Western Asset NY Municipal Fund Class A	B	Dividend	L	T					
55. FMOXX	A	Dividend	K	T					
56. FFNOX	A	Dividend	K	T					
57. FSMKX	A	Dividend	K	T					
58. CMCSA	A	Dividend	K	T					
59. FE	A	Dividend	J	T					
60. ALU	A	Dividend	J	T					
61. T	B	Dividend	K	T					
62. VOD	A	Dividend	J	T					
63. VZ	A	Dividend	K	T					
64. Zoetis	A	Dividend	J	T	Spinoff (from line 47)	06/27/13	J		
65. New York City Deferred Compensation Plan (457)		None	L	T					
66. Fidelity Value (IRA)	A	Dividend	K	T					
67. Oppenheimer Money Market Fund (IRA)	B	Dividend	L	T					
68. Oppenheimer Capital Appreciation Fund (IRA)(F)	A	Dividend	K	T					

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69. Citibank Money Market Account (IRA)	A	Interest	J	T					
70. Citibank Checking		None	J	T					
71. Citibank Savings	A	Interest	J	T					
72. FMAGX	B	Dividend	L	T					
73. FIGRX	A	Dividend	K	T					
74. FSLCX	A	Dividend	J	T					
75. FDCAX	B	Dividend	M	T					
76. FCNTX	A	Dividend	L	T					
77. FMCSX	A	Dividend	K	T					
78. FEQIX	A	Dividend	K	T					
79. FSICX	B	Dividend	M	T					
80. FDGFX	B	Dividend	K	T					
81. FDVLX	B	Dividend	K	T					
82. WEMMX	A	Dividend	K	T					
83. FDRXX	A	Interest	J	T					
84. TIAA-CREF Retirement Account	A	Dividend	L	T					
85. FNYXX (J)	A	Dividend	J	T					

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86. JP Morgan Chase Savings (F)	A	Interest			Closed		J		
87. TD Bank Checking (F)	A	Int./Div.	J	T	Open		J		
88. JP Morgan Chase Checking (J)	A	Interest	J	T					
89. JP Morgan Chase Checking (F)	A	Interest							

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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 \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Parts I and VII: Family Trust II matured during 2013 and the proceeds were transferred to the beneficiary. Accordingly, I have no longer reported the assets of Family Trust II and have no idea what its year end value may have been.

Part VII: Line 51: Fairpoint Communications, which is shown on my brokerage statement, has no value and pays no dividends. Accordingly, I will not include it on future reports.

Line 54: The Legg Mason Partners NY Tax Free Bond Fund Class A changed its name to the Western Asset NY Municipals Fund in or around October 2012.

Lines 86/87: One JP Morgan Chase checking account was closed during the year. Since it no longer appears on my electronic statements I cannot determine the date it was closed. The value was substantially less than \$15,000. Also, I opened a TD Bank checking account (now reflected on line 87 sometime in 2012. I am unsure of the date. That transaction should have been reported in 2012. The year-end value of that account in 2013 was substantially less than \$15,000.

Lines 86/89: The JP Morgan Chase checking account that was closed was inadvertently reported on two lines in my 2012 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/ **FRANK S. MAAS**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY 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