

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 07/17/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 225 CADMAN PLAZA E. EASTERN DISTRICT COURT OF NY BROOKLYN NY 11201		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

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.)*

DATE

PARTIES AND TERMS

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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 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. ALLIANZGI NFJ	B	Dividend	K	T					
2. BLACKROCK NY MUNI	B	Dividend	L	T					
3. BLACKROCK MUNIYLD	B	Dividend	K	T					
4. CALAMOS STRAT TOTAL RET	C	Dividend	L	T					
5. EATON VANCE TAX DIV	D	Dividend	L	T	Sold (part)	09/16/19	J	A	
6. EATON VANCE TX-AD	C	Dividend	L	T	Sold (part)	09/16/19	J	A	
7. EATON VANCE ENH INC	C	Dividend	K	T					
8. ISHARES US CONSUMER	A	Dividend	K	T					
9. INVESCO VARIABLE	B	Dividend	K	T					
10. INVESCO PREFFERED	B	Dividend	K	T					
11. INVESCO S&P 500 LOW	B	Dividend	L	T					
12. INVESCO QQQ TR	A	Dividend	J	T	Sold (part)	06/04/19	K	D	
13. INVESCO S&P 500 TOP	B	Dividend	L	T					
14. NUVEEN NY QUALITY	B	Dividend	L	T					
15. ML BANK DEPOSIT PROGRAM	A	Interest	J	T					
16. IRA-F. BLOCK									
17. ALLIANCE BERNSTEIN GLOBAL	C	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	
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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18. ALLIANZGI NFJ	C	Dividend	K	T					
19. BLACKROCK INTL GRWTH	A	Dividend	J	T					
20. CALAMOS STRAT TOTAL	D	Dividend	L	T					
21. COHEN AND STEERS QUALITY	C	Dividend	K	T					
22. EATON VANCE TAX DIV INC	C	Dividend	L	T					
23. EATON VANCE TX-AD	C	Dividend	L	T					
24. EATON VANCE ENH INCOME	C	Dividend	L	T					
25. FIRST TR SR FL	C	Dividend	K	T					
26. GABELLI DIV & INC TRUST	C	Dividend	L	T					
27. MORGAN STANLEY EMERGING	C	Dividend	K	T					
28. BANK OF AMERICA NA RASP	A	Interest	K	T					
29. IRA-F. BLOCK (2)									
30. BANK OF AMERICA NA RASP	A	Interest	K	T					
31. AIR PRODUCTS &CHEM	A	Dividend			Sold	01/17/19	J	A	
32. AMGEN INC	A	Dividend	J	T					
33. AMN ELEC POWER CO	A	Dividend	J	T	Buy (add'l)	03/25/19	J		
34. ASTRAZENECA PLC	A	Dividend	J	T	Sold (part)	01/25/19	J	A	

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. AT&T	A	Dividend	J	T					
36. BB&T CORP		None			Buy (add'l)	01/11/19	J		
37. BB&T CORP		None			Sold	01/15/19	J	A	
38. BOEING CO	A	Dividend	J	T	Sold (part)	03/21/19	J	A	
39. BROADCOM LTD	A	Dividend	J	T	Buy (add'l)	03/21/19	J		
40. CARNIVAL CORP	A	Dividend	J	T					
41. CHEVRON CORP	A	Dividend	J	T					
42. CHUBB LTD	A	Dividend	J	T	Buy (add'l)	01/23/19	J		
43. CISCO SYSTEMS INC	A	Dividend	J	T					
44. CITIGROUP	A	Dividend	J	T	Buy	02/07/19	J		
45. CME GROUP INC	A	Dividend	J	T	Sold (part)	03/20/19	J	B	
46. COMM SERVICES SELECT	A	Dividend	J	T	Buy (add'l)	03/22/19	J		
47. CONSUMER DISCRETIONARY SPDR	A	Dividend	J	T	Buy (add'l)	03/22/19	J		
48. COCA COLA COM	A	Dividend	J	T	Sold (part)	01/09/19	J	A	
49. CROWN CASTLE REIT INC	A	Dividend	J	T	Sold (part)	01/10/19	J	A	
50. DIGITAL REALTY TR INC	A	Dividend	J	T	Sold (part)	01/25/19	J	A	
51. DUKE ENERGY	A	Dividend			Sold	10/24/19	J	A	

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52. EXELON CORP	A	Dividend	J	T					
53. EXXON MOBIL CORP	A	Dividend	J	T	Buy (add'l)	03/22/19	J		
54. FIRST TR EXCHANGE		None	J	T	Buy (add'l)	03/22/19	J		
55. FIRST TR EXCHANGE		None			Sold (part)	01/16/19	J	A	
56. HEALTHCARE SELECT	A	Dividend	J	T	Buy (add'l)	03/22/19	J		
57. HEALTHCARE SELECT		None			Sold (part)	01/16/19	J	A	
58. INVESCO EMERGING	A	Dividend	J	T	Sold (part)	01/16/19	J	A	
59. INVESCO PREFERRED	A	Dividend	J	T					
60. ISHARES TIPS BOND ETF	A	Dividend	J	T	Buy (add'l)	01/18/19	J		
61. ISHARES 3-7 YEAR	A	Dividend	J	T	Sold (part)	01/16/19	J	A	
62. ISHARES MBS ETF	B	Dividend	K	T	Buy (add'l)	01/18/19	J		
63. ISHARES IBOXX HIGH YIELD	A	Dividend	J	T					
64. ISHARES IBOXX \$ INVT		None			Sold	01/16/19	K	A	
65. ISHARES INC CORE MSCI	A	Dividend	K	T	Buy (add'l)	01/18/19	J		
66. ISHARES NASDAQ BIOTECH	A	Dividend	J	T	Buy (add'l)	03/22/19	J		
67. ISHARES TR CORE MSCI	A	Dividend	K	T	Sold (part)	01/16/19	J	A	
68. JOHNSON AND JOHNSON	A	Dividend	J	T					

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69. JP MORGAN CHASE	A	Dividend	K	T	Buy (add'l)	01/17/19	J		
70. LOCKHEED MARTIN CORP	A	Dividend	J	T	Buy (add'l)	02/11/19	J		
71. MATERIALS SELECT SECTOR SPDR	A	Dividend	J	T	Buy (add'l)	01/18/19	J		
72. MATERIALS SELECT SECTOR SPDR		None			Sold (part)	03/20/19	J	A	
73. MCDONALDS CORP	A	Dividend	J	T	Sold (part)	03/19/19	J	A	
74. MERCK AND CO	A	Dividend	J	T					
75. MICROSOFT	A	Dividend	J	T	Buy	01/11/19	J		
76. PEPSICO	A	Dividend	J	T	Sold (part)	01/09/19	J	A	
77. PFIZER INC	A	Dividend	J	T					
78. REAL ESTATE SELECT	A	Dividend	J	T	Sold (part)	03/20/19	J	A	
79. ROYAL BANK CANADA	A	Dividend	J	T	Buy	02/01/19	J		
80. ROYAL DUTCH SHELL	A	Dividend	J	T	Buy (add'l)	02/14/19	J		
81. SECTOR SPDR CONSMRS STPL	A	Dividend	J	T	Buy (add'l)	01/18/19	J		
82. SECTOR SPDR CONSMRS STPL		None			Sold (part)	03/20/19	J	A	
83. SECTOR SPDR ENERGY	A	Dividend	J	T	Buy (add'l)	01/18/19	J		
84. SECTOR SPDR INDUSTRIAL	A	Dividend	J	T	Sold (part)	01/16/19	J	A	
85. SECTOR SPDR UTILITIES	A	Dividend	J	T	Buy (add'l)	01/18/19	J		

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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)
86. SIMON PROPERTY GROUP	A	Dividend	J	T					
87. SPDR S&P INSURANCE	A	Dividend	J	T					
88. SYSCO CORP	A	Dividend			Sold	02/08/19	J	A	
89. TARGET CORP	A	Dividend	J	T	Buy (add'l)	03/22/19	J		
90. TORONTO DOMINION BANK	A	Dividend	J	T					
91. UNITED TECHS CORP	A	Dividend	J	T	Buy (add'l)	02/11/19	J		
92. VANECK VECTORS JP	A	Dividend	J	T					
93. VANGUARD FINANCIALS ETF	A	Dividend	J	T	Buy (add'l)	01/18/19	J		
94. VANGUARD INFORMATION	A	Dividend	J	T	Sold (part)	01/16/19	J	A	
95. VANGUARD INTERMEDIATE	A	Dividend	J	T	Sold (part)	01/16/19	K	A	
96. VANGUARD INTRMDIATE TERM	A	Dividend	K	T	Buy	01/16/19	K		
97. VANGUARD SHORT TERM	A	Dividend	K	T	Buy (add'l)	01/18/19	K		
98. VANGUARD SHORT TERM		None			Sold (part)	01/16/19	K	A	
99. VANGUARD TOTAL INTL	A	Dividend	J	T	Buy	01/18/19	J		
100. VERIZON COMMUNICATIONS	A	Dividend	J	T					
101. WALMART INC	A	Dividend	J	T	Buy (add'l)	01/23/19	J		
102. WELLS FARGO CO		None			Sold	01/09/19	J	A	

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103. XTRACKERS USD HY	A	Dividend	J	T	Buy	01/18/19	J		

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(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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Name of Person Reporting

BLOCK, FREDERIC

Date of Report

07/17/2020

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

BLOCK, FREDERIC

Date of Report

07/17/2020

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 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
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Washington, D.C. 20544