

AO-10  
Rev. 1/93

## FINANCIAL DISCLOSURE REPORT

 Report Required by the Ethics  
Reform Act of 1989, Pub. L. No.  
101-194, November 30, 1989  
(5 U.S.C.A. App. 6, §§101-112)

|                                                                                                                                                    |                                                                                                                                                                                                                   |                                                         |
|----------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|
| 1. Person Reporting (Last name, first, middle initial)<br><b>Baer, Harold Jr.</b>                                                                  | 2. Court or Organization<br><b>Judicial Arbitration &amp; Mediation Services, Inc.</b>                                                                                                                            | 3. Date of Report<br><b>4/15/94</b>                     |
| 4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time)<br><b>Executive Judicial Officer</b> | 5. Report Type (check appropriate type)<br><input checked="" type="checkbox"/> Nomination, Date <b>4/26/94</b><br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Final | 6. Reporting Period<br><b>4-01-93</b><br><b>4-11-94</b> |
| 7. Chambers or Office Address<br><b>345 Park Avenue, 8th Floor<br/>New York, NY 10154</b>                                                          | 8. On the basis of the information contained in this Report, it is, in my opinion, in compliance with applicable laws and regulations _____<br>Reviewing Officer Signature _____                                  |                                                         |

**IMPORTANT NOTES:** The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on last page.

## I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions)

Trustee Christopher &amp; Peter Ausnit

Trustee Daniel Frey

## II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☐

NONE (No reportable agreements)

New York City Management Welfare Fund

New York State Pension - To begin following my 62nd birthday.

## III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME  
(yours, not spouse's)

(Honoraria only)

☐

NONE (No reportable non-investment income)

|   |                                            |            |
|---|--------------------------------------------|------------|
| 1 | Annual Trustee Comm.                       | \$ 16,000  |
| 2 | Salary IAMS                                | \$ 175,000 |
| 3 | Practising Law Institute                   | \$ 1,000   |
| 4 | Association of the Bar of The City of N.Y. | \$         |
| 5 |                                            | \$         |

## FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Harold Baer, Jr.

Date of Report

4/15/94

## IV. REIMBURSEMENTS and GIFTS – transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of Instructions.)

SOURCEDESCRIPTION☐ N/A

NONE (No such reportable reimbursements or gifts)

1

2

3

4

5

6

7

8

## V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCEDESCRIPTIONVALUE☐ N/A

NONE (No such reportable gifts)

1

2

3

4

\$

\$

\$

\$

## VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of Instructions.)

CREDITORDESCRIPTIONVALUE CODE\*☐

NONE (No reportable liabilities)

See (1) and (2) in Section VIII

1

2

3

4

5

6

7

\* VALUE CODES: J = \$15,000 or less    S = \$15,001 to \$50,000    T = \$50,001 to \$100,000    M = \$100,001 to \$250,000  
 N = \$250,001 to \$500,000    O = \$500,001 to \$1,000,000    P = More than \$1,000,000

## FINANCIAL DISCLOSURE REPORT (cont'd)

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Harold Baer, Jr.         | 4/15/94        |

## VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.<br>Place "(X)" after each asset exempt from prior disclosure.                                                                                                                                                                                                                                                       | B.<br>Income during reporting period |                                         | C.<br>Gross value at end of reporting period |                                | D.<br>Transactions during reporting period |                        |                         |                             |                                                          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------|----------------------------------------------|--------------------------------|--------------------------------------------|------------------------|-------------------------|-----------------------------|----------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | (1)<br>Amt. Code (A-E)               | (2)<br>Type (S, Div, Int, Rent or Lst.) | (1)<br>Value Code (J-F)                      | (2)<br>Value Method Code (G-H) | If not exempt from disclosure              |                        |                         |                             |                                                          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                      |                                         |                                              |                                | (1)<br>Type (S, Div, Int, Rent or Lst.)    | (2)<br>Date: Month/Day | (3)<br>Value Code (J-F) | (4)<br>Gain/Loss Code (A-E) | (5)<br>Identify of buyer/seller (if private transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                      |                                         |                                              |                                |                                            |                        |                         |                             |                                                          |
| 300 Gillette Co (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Div                                     | K                                            | T                              |                                            |                        |                         |                             |                                                          |
| 600 Home Depot Inc (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Div                                     | K                                            | T                              |                                            |                        |                         |                             |                                                          |
| 300 Merck & Co. (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| 6,262 Roch. Ed. Mun. Inc (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | D                                    | Div                                     | M                                            | T                              |                                            |                        |                         |                             |                                                          |
| 500 Walt Disney Co (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Div                                     | K                                            | T                              |                                            |                        |                         |                             |                                                          |
| 200 Exxon Corp (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | A                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| 100 FPL (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | A                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| 500 Freeport McMoran (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | B                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| 200 General Motors (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| 200 Hershey Food Corp (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| 500 Kellogg Co. (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Div                                     | K                                            | T                              |                                            |                        |                         |                             |                                                          |
| 500 Proctor & Gamble (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | A                                    | Div                                     | K                                            | T                              |                                            |                        |                         |                             |                                                          |
| 3500 Sun Distro (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | D                                    | Div                                     | L                                            | T                              |                                            |                        |                         |                             |                                                          |
| Suffolk Co NYSWR 6.4% (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A                                    | Coupon Div                              | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| Smith Barney/Shearson 1000 (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | A                                    | Div                                     | J                                            | T/IRA                          |                                            |                        |                         |                             |                                                          |
| 170 Lakehead Pipeline (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A                                    | Div                                     | J                                            | T/IRA                          |                                            |                        |                         |                             |                                                          |
| Cats Serv-Coupon 9.125% 1005 (S)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | -                                    |                                         | J                                            | T/IRA                          |                                            |                        |                         |                             |                                                          |
| 1442 Oakmark Int. Fund                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Div                                     | K                                            | T/IRA                          |                                            |                        |                         |                             |                                                          |
| 2014 Vanguard Fixed Income Fund                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | A                                    | Div                                     | J                                            | T/IRA                          |                                            |                        |                         |                             |                                                          |
| 57 Ivy Growth Fund                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | A                                    | Div                                     | J                                            | T                              |                                            |                        |                         |                             |                                                          |
| Income/Gain Codes: A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to \$5,000 D=\$5,001 to \$15,000<br>(See Col. B & D) E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$1,000,000 H=More than \$1,000,000<br>Value Codes: J=\$1,000 or less K=\$1,001 to \$50,000 L=\$50,001 to \$100,000 M=\$100,001 to \$1,000,000 N=More than \$1,000,000<br>(See Col. C & D) O=\$250,001 to \$500,000 P=\$500,001 to \$1,000,000 Q=More than \$1,000,000<br>Value Method Codes: U=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market<br>(See Col. C2) V=Book Value W=Other X=Estimated |                                      |                                         |                                              |                                |                                            |                        |                         |                             |                                                          |

## FINANCIAL DISCLOSURE REPORT (cont'd)

|                                              |                           |
|----------------------------------------------|---------------------------|
| Name of Person Reporting<br>Harold Baer, Jr. | Date of Report<br>4/15/94 |
|----------------------------------------------|---------------------------|

## VII. INVESTMENTS and TRUSTS – income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

| A.<br>Description of Assets<br>(Including trust assets)<br>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.<br>Place "(X)" after each asset exempt from prior disclosure.                                                                                                                                                                                                                                       | B.<br>Income during reporting period |                                           | C.<br>Gross value at end of reporting period |                                    | D.<br>Transactions during reporting period           |                               |                             |                            |                                                          |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------------|----------------------------------------------|------------------------------------|------------------------------------------------------|-------------------------------|-----------------------------|----------------------------|----------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | (1)<br>Amt. Code*<br>(A-E)           | (2)<br>Type<br>(e.g., div., rent or int.) | (1)<br>Value Code*<br>(J-F)                  | (2)<br>Value Method Code*<br>(Q-W) | (1)<br>Type<br>(e.g., buy, sell, margin, redemption) | If not exempt from disclosure |                             |                            |                                                          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                      |                                           |                                              |                                    |                                                      | (2)<br>Date: Month Day        | (3)<br>Value Code*<br>(J-P) | (4)<br>Gain Code*<br>(A-E) | (5)<br>Identify of buyer/seller (if private transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                      |                                           |                                              |                                    |                                                      |                               |                             |                            |                                                          |
| 117 Global/Scudder                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 400 Ameritech Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | A                                    | Div                                       | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 Bell Atlantic Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 100 Bell South Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 4,769 Eaton Vance NY Tax Free Fund                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | -                                    | -                                         | L                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 300 Gen. Motors Conv. Pref                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | A                                    | Div                                       | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 Intel                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 Mobil Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 Questar Corp Utah                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 5582 Rochester Fund Mun. Inc.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | D                                    | Div                                       | L                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 600 Southwestern Bell Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | A                                    | Div                                       | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 Texaco                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 U.S. West Inc.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 1000 Warner Lambert                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | B                                    | Div                                       | L                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| NYC Go Fiscal 8.250%/2018                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | B                                    | Coupon                                    | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| North Tanawanda NY 9.2% 12/2001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | B                                    | Coupon                                    | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 1000 Neolens                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | -                                    | -                                         | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 1500 Ohio Edison                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | B                                    | Div                                       | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 200 Pfizer                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | A                                    | Div                                       | J                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 1229 Public Serv Ent. Gr.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | C                                    | Div                                       | K                                            | T                                  |                                                      |                               |                             |                            |                                                          |
| 1 Income/Gain Codes: A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to 5,000 D=\$5,001 to \$15,000<br>(See Col. B1 & B4) E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$1,000,000 H=More than \$1,000,000<br>2 Value Codes: J=\$15,000 or less K=\$15,001 to \$50,000 L=\$50,001 to \$100,000 M=\$100,001 to \$250,000<br>(See Col. C1 & C2) N=\$250,001 to \$500,000 O=\$500,001 to \$1,000,000 P=More than \$1,000,000<br>3 Value Method Codes: Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market<br>(See Col. C2) U=Book Value V=Other W=Estimated |                                      |                                           |                                              |                                    |                                                      |                               |                             |                            |                                                          |

## FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Harold Baer, Jr.

Date of Report

4/15/94

## VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br>Indicate, where applicable, owner of the asset by using the parenthetical "(S)" for joint ownership of reporting individual and spouse, "(SP)" for separate ownership by spouse, "(DC)" for ownership by dependent child.<br>Place "(S)" after each asset exempt from prior disclosure.                                                                                                                                                                                                  | B.<br>Income during reporting period |                                            | C.<br>Gross value at end of reporting period |                                | D.<br>Transactions during reporting period            |                               |                         |                        |                                                          |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|--------------------------------------------|----------------------------------------------|--------------------------------|-------------------------------------------------------|-------------------------------|-------------------------|------------------------|----------------------------------------------------------|--|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | (1)<br>Ast. Code (A-B)               | (2)<br>Type (a) Div., (b) Rent or (c) Int. | (1)<br>Value Code (J-F)                      | (2)<br>Value Method Code (Q-W) | (1)<br>Type (a) Buy, sell, (b) Matur., (c) Redemption | If not exempt from disclosure |                         |                        |                                                          |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                      |                                            |                                              |                                |                                                       | (2)<br>Date: Month-Day        | (3)<br>Value Code (J-P) | (4)<br>Gain Code (A-B) | (5)<br>Identity of buyer/seller (if private transaction) |  |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                      |                                            |                                              |                                |                                                       |                               |                         |                        |                                                          |  |
| 1 2500 Sun Distrs L.P.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | C                                    | Div                                        | K                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 2 NYS HFA Nonprofit 6.75% 11/94                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 3 Westch Cty 7.00% 12/98                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 4 NYS MedCare St. Lukes 4.15% 2/94                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 5 MAC NY Ser 50 7.75% 7/00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 6 Port Auth NY & NJ 7.50% 6/17                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 7 256 Smith B.S. Agg. Growth Fund C.I. & A.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | A                                    | Div                                        | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 8 10 Units Mun Inv. Trust #3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | A                                    | Div                                        | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 9 900 Cypress Semiconductor Corp.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | -                                    | -                                          | K                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 10 Port of N.Y. Auth 4.00% 3/02                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 11 Port of N.Y. Auth 6.75% 7/15/03                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 12 NYS Dorm Auth 7.4% 7/04                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 13 MAC N.Y.S. Ser 46 9.875% 7/08                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | A                                    | Coupon                                     | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 14 Oppenheimer & Co. 7.75% 2/03                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A                                    | Div                                        | J                                            | T                              |                                                       |                               |                         |                        |                                                          |  |
| 15 US Savings Bonds                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | C                                    | INT                                        | K                                            | W                              |                                                       |                               |                         |                        |                                                          |  |
| 16 Nat. Housing Part.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | C                                    |                                            | K                                            | W                              |                                                       |                               |                         |                        |                                                          |  |
| 17 100 Weyerhaeuser Co.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                      |                                            |                                              |                                | 11-1-                                                 | J                             | B                       |                        |                                                          |  |
| 18 500 Bally Mfg Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                      |                                            |                                              |                                | 8-11-93                                               | J                             | B                       |                        |                                                          |  |
| 19 500 Caterpillar Inc                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                      |                                            |                                              |                                | 8-11-93                                               | K                             | D                       |                        |                                                          |  |
| 20 300 Mobil Corp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                      |                                            |                                              |                                | 11-1-93                                               | K                             | D                       |                        |                                                          |  |
| 1 Income/Gain Codes: A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to 5,000 D=\$5,001 to \$15,000<br>(See Col. B1 & D4) E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$1,000,000 H=More than \$1,000,000<br>2 Value Codes: J=\$15,000 or less K=\$15,001 to \$50,000 L=\$50,001 to \$100,000 M=\$100,001 to \$250,000 N=\$250,001 to \$500,000 O=\$500,001 to \$1,000,000 P=More than \$1,000,000<br>3 Value Method Codes: Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market<br>U=Book Value V=Other W=Estimated |                                      |                                            |                                              |                                |                                                       |                               |                         |                        |                                                          |  |

## FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Date of Report

Harold Saer, Jr.

4/15/94

## VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Indicate, where applicable, owner of the asset by using the parenthetical (S) for joint ownership of reporting individual and spouse, (S) for separate ownership by spouse, (DC) for ownership by dependent child.<br><br>Place "(X)" after each asset except line prior disclosure. | B.<br>Income during reporting period |                                    | C.<br>Gross value at end of reporting period |                    | D.<br>Transactions during reporting period      |                     |                       |                      |                                                       |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|------------------------------------|----------------------------------------------|--------------------|-------------------------------------------------|---------------------|-----------------------|----------------------|-------------------------------------------------------|--|
|                                                                                                                                                                                                                                                                                                                                                     | (1)                                  | (2)                                | (1)                                          | (2)                | If not exempt from disclosure.                  |                     |                       |                      |                                                       |  |
|                                                                                                                                                                                                                                                                                                                                                     | Asset Code (A-B)                     | Type (C-F)<br>Value: Year at (J-P) | Value: Code (Q-W)                            | Method: Code (Q-W) | (1) Type (e.g., buy/sell, transfer, redemption) | (2) Date: Month/Day | (3) Value: Code (J-P) | (4) Gain: Code (A-B) | (5) Identity of buyer/seller (if private transaction) |  |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                                                                                                                                                                                                                                                       |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 1 200 Pepsico Inc                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 | 31-23-              | J                     | B                    |                                                       |  |
| 2 100 Hershey Goods Corp                                                                                                                                                                                                                                                                                                                            |                                      |                                    |                                              |                    |                                                 | 10-28-              | J                     | C                    |                                                       |  |
| 3 200 Quaker Oats                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 | 51-22-              | J                     | C                    |                                                       |  |
| 4                                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 5                                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 6                                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 7                                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 8                                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 9                                                                                                                                                                                                                                                                                                                                                   |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 10                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 11                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 12                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 13                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 14                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 15                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 16                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 17                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 18                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 19                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |
| 20                                                                                                                                                                                                                                                                                                                                                  |                                      |                                    |                                              |                    |                                                 |                     |                       |                      |                                                       |  |

  

|                                            |                                              |                                                       |                                                        |                                                  |
|--------------------------------------------|----------------------------------------------|-------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------|
| 1 Income/Gain Codes:<br>(See Col. B1 & B4) | L-\$1,000 or less<br>E-\$15,001 to \$50,000  | M-\$51,001 to \$100,000<br>R-\$100,001 to \$100,000   | C-\$100,001 to \$1,000,000<br>L-\$100,001 to \$100,000 | D-\$1,001 to \$15,000<br>W-more than \$1,000,000 |
| 2 Value Codes:<br>(See Col. C1 & D1)       | J-\$15,000 or less<br>K-\$15,001 to \$50,000 | M-\$51,001 to \$100,000<br>N-\$100,001 to \$1,000,000 | L-\$100,001 to \$1,000,000<br>P-more than \$1,000,000  |                                                  |
| 3 Value Method Codes:<br>(See Col. C2)     | U-Book Value<br>Q-Appraisal                  | V-Other<br>R-Cost (real estate only)                  | S-Assessment<br>W-Estimated                            | T-Cash/Market                                    |

## FINANCIAL DISCLOSURE REPORT (cont'd)

| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Harold Baer, Jr.         | 4/15/94        |

## VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

(1) I own a 1/2 interest in an apartment at Bonaventure, Ft. Lauderdale, Fla. The rent beginning 4/94 was \$750/mo. The mtge approx. \$50,000. My interest is 1/2 of each.

(2) I own approx. 11% of an apartment bldg at 400 Park Ave, Brooklyn, NY with my two daughters. We each own 1/3 of the 11%. We have owned it for approx 6 years with no income at all. Early this year due to a mtge. refinancing each of the three of us received approx. \$1800.00

(3) The sales reflected in VII were made to buy a primary residence - only gains are reflected as per my understanding of the instructions.

## IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature: Harold Baer, Jr.

Date: 4/25/94

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001)

## FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee  
Administrative Office of the  
United States Courts  
Washington, DC 20544

## FINANCIAL STATEMENT

35417

## NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

OCTOBER 31, 1993

| ASSETS                                    |           | LIABILITIES                                                      |           |
|-------------------------------------------|-----------|------------------------------------------------------------------|-----------|
| Cash on hand and in banks                 | 10,800    | Notes payable to banks—secured                                   |           |
| U.S. Government securities—add schedule * |           | Notes payable to banks—unsecured                                 |           |
| Listed securities—add schedule *          |           | Notes payable to relatives                                       |           |
| Unlisted securities—add schedule *        |           | Notes payable to others                                          |           |
| Accounts and notes receivable:            |           | Accounts and bills due                                           | 5,000     |
| Due from relatives and friends            |           | Unpaid income tax                                                |           |
| Due from others                           |           | Other unpaid tax and interest                                    |           |
| Doubtful                                  |           | Real estate mortgages payable—add schedule                       | 162,727   |
| Real estate owned—add schedule            | 350,000   | Chattel mortgages and other liens payable                        |           |
| Real estate mortgages receivable          |           | Other debts—itemize:                                             |           |
| Autos and other personal property         |           |                                                                  |           |
| Cash value—life insurance                 |           |                                                                  |           |
| Other assets—itemize: IRA ACCOUNTS        | 73,543    |                                                                  |           |
| * MARKET VALUATION OF                     |           |                                                                  |           |
| SECURITIES CASH—BANKING                   |           |                                                                  |           |
| ACCOUNTS (SCHEDULE)                       | 1,468,123 | Total Liabilities                                                | 167,727   |
| DEPOSIT - FURNITURE OF APARTMENT          | 73,500    | Net Worth                                                        | 1808,239  |
| Total Assets                              | 1,975,966 | Total Liabilities and net worth                                  | 1,975,966 |
| CONTINGENT LIABILITIES                    |           | GENERAL INFORMATION                                              |           |
| As endorser, cosigner or guarantor        | 0         | Are any assets pledged? (Add schedule.) SEE REAL ESTATE SCHEDULE | YES       |
| On leases or contracts                    | 0         | Are you defendant in any suits or legal actions?                 | NO        |
| Legal Claims                              | 0         | Have you ever taken bankruptcy?                                  | NO        |
| Provision for Federal Income Tax          | 0         |                                                                  |           |
| Other special debt                        | 0         |                                                                  |           |