

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) BLOCK, FREDERIC	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 225 CADMAN PLAZA E. EASTERN DISTRICT COURT OF NY BROOKLYN NY 11201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. OFFICER	FREDERIC BLOCK P.C.
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

BLOCK, FREDERIC

Date of Report

05/05/2021

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

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

2.

3.

4.

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

Name of Person Reporting	Date of Report
BLOCK, FREDERIC	05/05/2021

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. ALLIANZGI NFJ	A	Dividend			Sold	03/20/20	K	A	
2. BLACKROCK NY MUNI	B	Dividend	K	T					
3. BLACKROCK MUNIYLD	B	Dividend	K	T	Sold (part)	03/20/20	K	A	
4. CALAMOS STRAT TOTAL RET	C	Dividend	L	T					
5. EATON VANCE TAX DIV	D	Dividend	L	T					
6. EATON VANCE TX-AD	C	Dividend	K	T	Sold (part)	03/20/20	K	A	
7. EATON VANCE ENH INC	C	Dividend	L	T					
8. ISHARES US CONSUMER	A	Dividend	K	T					
9. INVESCO VARIABLE	A	Dividend			Sold	03/20/20	K	A	
10. INVESCO PREFFERED	B	Dividend	K	T					
11. INVESCO S&P 500 LOW	B	Dividend	L	T					
12. INVESCO QQQ TR	A	Dividend			Sold	03/20/20	J	C	
13. INVESCO S&P 500 TOP	B	Dividend	L	T					
14. NUVEEN NY QUALITY	B	Dividend	L	T					
15. ML BANK DEPOSIT PROGRAM	A	Interest	J	T					
16. IRA-F. BLOCK									
17. ALLIANCE BERNSTEIN GLOBAL	C	Dividend	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

BLOCK, FREDERIC

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. ALLIANZGI NFJ	C	Dividend	K	T					
19. BLACKROCK INTL GRWTH	A	Dividend			Sold	08/21/20	J	A	
20. CALAMOS STRAT TOTAL	D	Dividend	L	T	Sold (part)	08/21/20	K	D	
21. COHEN AND STEERS QUALITY	C	Dividend	K	T					
22. EATON VANCE TAX DIV INC	C	Dividend	L	T					
23. EATON VANCE TX-AD	C	Dividend	L	T					
24. EATON VANCE ENH INCOME	C	Dividend	L	T	Sold (part)	08/21/20	K	D	
25. FIRST TR SR FL	C	Dividend	K	T					
26. GABELLI DIV & INC TRUST	C	Dividend	L	T					
27. MORGAN STANLEY EMERGING	B	Dividend	K	T					
28. BANK OF AMERICA NA RASP	A	Interest	K	T					
29. IRA-F. BLOCK (2)									
30. BANK OF AMERICA NA RASP	A	Interest	K	T					
31. ABBOTT LABS	A	Dividend	J	T	Buy	04/23/20	J		
32. AMGEN INC	A	Dividend	J	T					
33. AMN ELEC POWER CO	A	Dividend	J	T					
34. ASTRAZENECA PLC	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$250,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. AT&T	B	Dividend	J	T	Buy (add'l)	02/04/20	J		
36. BOEING CO	A	Dividend	J	T					
37. BROADCOM LTD	A	Dividend	K	T					
38. CARNIVAL CORP	A	Dividend			Sold	02/04/20	J	A	
39. CARRIER GLOBAL	A	Dividend	J	T	Spinoff (from line 90)	04/07/20	J		
40. CHEVRON CORP		None			Sold	01/10/20	J	A	
41. CHUBB LTD	A	Dividend			Sold	08/21/20	J	A	
42. CISCO SYSTEMS INC	A	Dividend	J	T					
43. CITIGROUP	A	Dividend	J	T					
44. CME GROUP INC	A	Dividend	J	T					
45. COMM SERVICES SELECT	A	Dividend	J	T					
46. CONSUMER DISCRETIONARY SPDR	A	Dividend	J	T					
47. COCA COLA COM	A	Dividend	J	T					
48. CROWN CASTLE REIT INC	A	Dividend	J	T					
49. DIGITAL REALTY TR INC	A	Dividend	J	T					
50. EXELON CORP	A	Dividend			Sold	08/21/20	J	A	
51. EXXON MOBIL CORP		None			Buy (add'l)	01/10/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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52. EXXON MOBIL CORP		None			Sold	02/04/20	K	A	
53. FIRST TR EXCHANGE		None	J	T					
54. HEALTHCARE SELECT	A	Dividend	J	T					
55. INVESCO EMERGING	A	Dividend	J	T					
56. INVESCO PREFERRED	A	Dividend	J	T					
57. ISHARES TIPS BOND ETF	A	Dividend	J	T					
58. ISHARES 3-7 YEAR	A	Dividend	J	T					
59. ISHARES MBS ETF	A	Dividend	K	T					
60. ISHARES IBOXX HIGH YIELD	A	Dividend	J	T					
61. ISHARES INC CORE MSCI	A	Dividend			Sold	04/23/20	K	A	
62. ISHARES NASDAQ BIOTECH	A	Dividend	J	T					
63. ISHARES TR CORE MSCI	A	Dividend			Sold	04/23/20	J	A	
64. JOHNSON AND JOHNSON	A	Dividend	J	T					
65. JP MORGAN CHASE	A	Dividend	K	T					
66. LOCKHEED MARTIN CORP	A	Dividend	J	T					
67. MATERIALS SELECT SECTOR SPDR	A	Dividend	J	T					
68. MCDONALDS CORP	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. MERCK AND CO	A	Dividend	J	T					
70. MICROSOFT	A	Dividend	J	T					
71. ORACLE	A	Dividend	J	T	Buy	04/23/20	J		
72. OTIS	A	Dividend	J	T	Spinoff (from line 90)	04/07/20	J		
73. PEPSICO	A	Dividend	J	T					
74. PFIZER INC	A	Dividend	J	T					
75. RAYTHEON	A	Dividend	J	T	Spinoff (from line 90)	04/07/20	J		
76. REAL ESTATE SELECT	A	Dividend	J	T					
77. ROYAL BANK CANADA	A	Dividend	J	T					
78. ROYAL DUTCH SHELL	A	Dividend	J	T					
79. SECTOR SPDR CONSMRS STPL	A	Dividend	J	T					
80. SANOFI ADR	A	Dividend	J	T	Buy	04/23/20	J		
81. SECTOR SPDR ENERGY	A	Dividend	J	T					
82. SECTOR SPDR INDUSTRIAL	A	Dividend	J	T					
83. SECTOR SPDR UTILITIES	A	Dividend	J	T					
84. SIMON PROPERTY GROUP	A	Dividend			Sold	04/23/20	J	A	
85. SPDR S&P INSURANCE	A	Dividend	J	T					

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86. STARBUCKS	A	Dividend	J	T	Buy	04/23/20	J		
87. TARGET CORP	A	Dividend	K	T					
88. TE CONNECTIVITY	A	Dividend	J	T	Buy	02/04/20	J		
89. TORONTO DOMINION BANK	A	Dividend	J	T					
90. UNITED TECHS CORP	A	Dividend			Redeemed	04/07/20	J		
91. VANECK VECTORS JP	A	Dividend			Sold	04/23/20	J	A	
92. VANGUARD FINANCIALS ETF	A	Dividend	J	T					
93. VANGUARD INFORMATION	A	Dividend	J	T					
94. VANGUARD INTERMEDIATE	A	Dividend	J	T					
95. VANGUARD INTRMDIATE TERM	A	Dividend	K	T					
96. VANGUARD SHORT TERM	A	Dividend	K	T					
97. VANGUARD TOTAL INTL	A	Dividend	J	T					
98. VERIZON COMMUNICATIONS	A	Dividend	J	T					
99. WALMART INC	A	Dividend	J	T					
100. XTRACKERS USD HY	A	Dividend	J	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

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A =\$1,000 or less
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Name of Person Reporting

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

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Name of Person Reporting

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05/05/2021

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **S/ FREDERIC BLOCK**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544