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FINANCIAL
DISCLOSURE OFFICE

UNITED STATES DISTRICT COURT
UNITED STATES COURTHOUSE
500 PEARL STREET
NEW YORK, NY 10007

CHAMBERS OF
HAROLD BAER, JR.
DISTRICT JUDGE

TEL (212) 805-0184
FAX (212) 805-7901

UNOFFICIAL

August 23, 2003

Hon. Mary M. Lisi, Chair
Judicial Conference of the US
Committee on Financial Disclosure
One Columbus Circle NE
Washington, DC 20544

Re: Calendar Year 2003 Filing for
Harold Baer, Jr.

Dear Judge Lisi:

Thank you for your letter of July 26. I attach the detail for Part IV, lines 1, 4 and 5 that you request and I note the information regarding reporting contained in the second, third and fourth paragraphs of your letter. Thank you.

In any event, if you want additional information, I am available to provide it.



HON. HAROLD BAER , JR.
FINANCIAL DISCLOSURE 2003

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PART IV REIMBURSEMENTS

- Line 1 American Law Institute/American Bar Association
May 8 to May 10, 2003
Transportation, lodging and food
- Line 4 George Mason School of Law
June 26 to June 29, 2003
Transportation, lodging and food
- Line 5 Pace University School of Law
October 17 to October 18, 2003
Transportation, lodging and food

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) BAER, JR., HAROLD	2. Court or Organization US DISTRICT	3. Date of Report 5/4/04
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE - <i>ACTIVE</i>	5. ReportType (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/03 to 12/31/03
7. Chambers or Office Address ROOM 2230 U.S. COURTHOUSE 500 PEARL STREET NEW YORK, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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

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

☐ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. TRUSTEE

DANIEL FREY TRUST

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

☐ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

NEW YORK CITY MANAGEMENT WELFARE FUND

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)**A. Filer's Non-Investment Income**☐ **NONE** - (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u> (yours, not spouse's)
1.	LEXIS NEXIS - BOOK ROYALTIES	953.00
2.	MATTHEW BENDER & CO., INC. - BOOK ROYALTIES	1303.00
3.	PENSION - NY STATE EMPLOYEES' RETIREMENT SYSTEM	20,312.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☐ **NONE** - (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	TIAA AND CREF RETIREMENT SYSTEM

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

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

☐ **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. ACTIVITY OF PROFESSIONAL ASSOC OR CIVIC ORGANIZATION 5/8/03-5/10/03	BOSTON, MASSACHUSSETTS \$932
2. EDUCATIONAL SEMINARS SPONSORED BY FJC 5/22/03-5/26/03	PALO ALTO, CALIFORNIA \$816
3. CIRCUIT JUDICIAL CONFERENCE 6/5/03-6/7/03	BOLTON LANDING, NEW YORK \$757
4. NON-FJC EDUCATIONAL SEMINAR OR PROGRAM 6/26/03-6/29/03	NEW HAVEN, CONNECTICUT \$713
5. NON-FJC EDUCATIONAL SEMINAR OR PROGRAM 10/17/03-10/18/03	WHITE PLAINS, NEW YORK \$129

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

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

☐ NONE - (No such reportable reimbursements.)

SOURCE

DESCRIPTION

6. METTING OF US JUDICIAL CONFERENCE OR
COMMITTEES 10/25/03-10/29/03

PALM BEACH, FLORIDA

\$1,075

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☐ NONE - (No such reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	ROSEN WEDDING	GIFT OF CAVIAR.	\$250

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☐ NONE - (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

VI. LIABILITIES

██████████ AND I EACH HAVE A SECURITIES ACCOUNT WHICH AT CERTAIN MONTH ENDS SHOWED AMOUNTS IN EXCESS OF \$10,000.00 OWED BY ██████████ TO THE BROKER.

	██████████	██████████
JANUARY 2003	\$60,362.00	\$40,523.00
FEBRUARY 2003	49,025.00	45,699.00
MARCH 2003	54,155.00	45,129.00
APRIL 2003	38,241.00	39,589.00
MAY 2003	39,494.00	28,824.00
JUNE 2003	39,081.00	28,998.00
JULY 2003	35,228.00	27,027.00
AUGUST 2003	38,886.00	30,396.00
SEPTEMBER 2003	38,007.00	80,713.00
OCTOBER 2003	15,520.00	10,354.00
NOVEMBER 2003	14,727.00	13,885.00

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. GILLETTE CO.	A	Dividend	K	T	Part Sale	5/15	J	D	
2. ROCHESTER FUND	D	Dividend	M	T					
3. WALT DISNEY & CO.	A	Dividend			SALE	4/16	J	D	
4. EXXON MOBIL CORP.	A	Dividend	K	T					
5. HOME DEPOT INC.	A	Dividend	K	T					
6. PROCTOR & GAMBLE CO.	A	Dividend	L	T					
7. OAKMARK INTERNATIONAL FUND (IRA)	A	Dividend	J	T	PART SALE	12/15	K	D	
8. VANGUARD FUND (IRA) SHORT TERM CORP FUND	A	Dividend	K	T					
9. SCUDDER GLOBAL FUND	A	Dividend	J	T					
10. VERIZON COMM.	A	Dividend	J	T					
11. BELL SOUTH CORP	A	Dividend	J	T					
12. INTEL CORP.	A	Dividend	K	T	PART SALE	4/16	J	D	
13. EXXON MOBIL CORP.	A	Dividend	K	T					
14. ROCHESTER MUNICIPAL FUND, INC.	B	Dividend	K	T					
15. SBC COMMUNICATIONS, INC.	B	Dividend			SALE	4/16	K	E	
16. FIRST ENERGY CORP.	B	Dividend	M	T					
17. PFIZER, INC.	C	Dividend	M	T					
18. PUBLIC SERVICE ENTERPRISE GROUP	C	Dividend	L	T					

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

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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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. CYPRESS SEMICONDUCTOR CORP.		None	K	T					
20. NYS DORM AUTH 7.40%	A	Interest	J	T	REDEEME D	7/1	J	A	
21. OPPENHEIMER CAPITAL APPREC. FD		None	K	T					
22. NASSAU CNTY, NY 6.50% 2010	B	Interest	K	T					
23. QUEST FOR DUAL PURPOSE FUND IRA	A	Dividend	J	T					
24. TXU CORP	A	Dividend	J	T					
25. US SAVINGS BONDS	B	Interest	J	W					
26. NYC, NY G/O 5.75% 2013	A	Interest			REDEEME D	7/1	J	A	
27. **OCC CASH RESERVES PRIMARY PORTFOLIO FD	A	Dividend	J	T					
28. MERK & CO.	A	Dividend	K	T					
29. **EMERGING MARKETS INCOME FUND II, INC.	A	Dividend			SALE	2/3	J	A	
30. **MFS CHARTER INCOME TRUST - SBI	A	Dividend	J	T					
31. **ENTERTAINMENT PROPERTIES TRUST	B	Dividend	K	T					
32. **ABOVE PROPERTY HELD BY ME AS TRUSTEE U/W DANIEL FREY									
33. I HAVE NO BENEFICIAL INTEREST IN THE TRUST.									
34. 3.67% INTEREST BUILDING BROOKLYN, NY	B	Rent	J	W					
35. OCC CASH RESERVED	A	Dividend	J	T					
36. OPPENHEIMER QUEST CAPITAL VALUE FUND		None	J	T					

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
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37. EMERGING MARKETS FD NOW SALMON BROS EMERGING MARKETS II	A	Dividend	J	T					
38. PLAINS ALL AMERICAN PIPELINE LP	A	Dividend	J	T					
39. SMUCKER J.M. CO	A	Dividend	J	T					
40. MEDCO HEALTH SOLUTIONS	A	Dividend	J	T	SPIN-OFF	8/19	J		
41. CHICOS FAS INC	A	Dividend	J	T	BUY	12/4	J		
42. GENERAL ELECTRIC CO	A	Dividend	J	T	BUY	11/20	J		
43. PARK PLACE ENTERTAINING CORP	A	Dividend	J	T	BUY	12/4	J		

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2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = More than \$50,000,000		
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IX. CERTIFICATION.

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

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

Signature

A large black rectangular redaction mark covers the signature area.

Date

5/12/04

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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