

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) PECK, ANDREW J.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 05/14/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Courthouse 500 Pearl Street, Room 1370 New York, NY 10007-1312		
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. Insert signature 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.		
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. 1978-1995	Paul, Weiss, Rifkind, Wharton & Garrison Pension Plan
2.	
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Cardozo Law School (Adjunct Professor)	\$4,000.00
2. 07/28/2011	Xerox Corp. (Teaching E-Discovery)	\$1,500.00
3. 09/27/2011	Sandpiper Partners (Teaching E-Discovery)	\$1,500.00
4. 11/17/2011	Organization of Legal Professionals (Teaching E-Discovery)	\$850.00
5. 11/28/2011	Xerox Corp. (Teaching E-Discovery)	\$1,500.00
6. 12/19/2011	IQPC (Teaching E-Discovery)	\$500.00
7. 12/28/2011	Nova Office Strategies (Teaching E-Discovery)	\$500.00

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 01/01/2011	12/31/11 N.Y.C. Board of Education - Pension
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. CGOC	1/18-21	San Francisco, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
2. ABA	2/15-20	San Francisco, CA	Speaker - ABA Conf.	Transportation, Lodging & Meals
3. Marcus Evans	3/23-26	Fort Lauderdale, FL	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
4. Q1 Productions	3/27-28	Boston, MA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals

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5.	CGOC	5/1-7	Zurich, Switzerland	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
6.	IQPC	5/8-13	London, England	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
7.	NYSBA	5/20-22	Newport, RI	Bar Association Meeting	Transportation, Lodging & Meals
8.	University of Louisville	6/22-24	Louisville, KY	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
9.	CEDF	7/13-16	San Francisco, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
10.	Carmel Valley E-Discovery Retreat	7/17-21	Carmel, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
11.	Sedona Conference	10/5-7	Austin, TX	E-Disc. Conf.	Transportation, Lodging & Meals
12.	Nuix/Gov't New South Wales	10/10-20	Sydney, Australia	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
13.	Georgetown Law School	11/16-18	Arlington, VA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. U.S. Treas.Bills/Notes & SvgsBonds	A	Interest	K	T					
2. NYS, NYC & NYS Subdivs. Bonds	E	Interest	O	T					
3. Bristol-Myers-Squib (Common Stock)	A	Dividend	J	T					
4. Century Telephone (Common Stock)	A	Dividend	J	T	Sold (part)	12/18/11	J	A	
5. DWS Scudder N.Y. Tax Free Fund	E	Dividend	N	T					
6. Chase Bank	C	Interest	N	T					
7. DWS Strategic Value Fund IRA	A	Dividend	J	T					
8. Eaton (Common Stock)	D	Dividend	N	T					
9. American Express (Common Stock)	A	Dividend	J	T					
10. GLAXO (ADRs)	A	Dividend	J	T					
11. Citibank	A	Interest	K	T					
12. Smith Barney Money Funds (Western Asset NY Muni Fund)	A	Dividend	J	T					
13. Dreyfus General NY Bond Fund	B	Interest	L	T					
14. N.Y.C. Teachers Retirement TDA	D	Interest	O	T					
15. Astoria Federal IRA	A	Interest	J	T					
16. Fidelity Puritan IRA	A	Interest	K	T					
17. Copeland (457) (IRA)	A	Interest	L	T					

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

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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. Verizon (common)	A	Dividend	J	T					
19. Allstate Corp. (common)	A	Dividend	J	T					
20. Sears Roebuck & Co. (Common)	A	Dividend			Sold	12/18/11	J	A	
21. Walt Disney Holding (Common)	A	Dividend	K	T					
22. Time Warner & Time Warner Cable (Common)	A	Dividend	J	T					
23. Putnam Growth Fund	A	Dividend	J	T					
24. Hewlett Packard (Common)	A	Dividend	J	T					
25. McDonald's (Common) (IRA)	A	Dividend	K	T					
26. Oracle (Common)	A	Dividend	K	T					
27. Pfizer (Common)	A	Dividend	J	T					
28. Schwab Vanguard Target Retire.Fund(IRA)	E	Interest	N	T					
29. Chase (Morgan) Tax Free Money Market	A	Interest	J	T	Sold (part)	07/29/11	N	A	
30. Citigroup (Common)	A	Dividend			Sold	12/21/11	J	A	
31. Putnam Growth Fund (IRA)	A	Interest	J	T					
32. DWS Scudder S&P 500 Index Fund	A	Dividend	K	T					
33. Eaton Vance Government Obligation Fund	A	Dividend	J	T					
34. Seligman Communication Fund	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Frontier Communication Co. (Common)	A	Dividend			Sold	12/28/11	J	A	
36. Coca-Cola (Common)	A	Dividend	J	T					
37. PIMCO N.Y. Municipal Income Fund	A	Dividend	J	T					
38. ING Principal Protection Fund (IRA)	A	Dividend	K	T					
39. Zimmer Holdings	A	Dividend	J	T					
40. Microsoft	A	Dividend	J	T					
41. Liberty Global & Liberty Media (Common)	A	Dividend	J	T					
42. Ameriprise Financial (Common)	A	Dividend			Sold	03/21/11	J	A	
43. Diamond Trust	A	Dividend	J	T					
44. Pioneer Municipal High Income	A	Dividend	K	T					
45. S&P Depository Receipt	A	Dividend	K	T					
46. Capitol One Bank	D	Interest	O	T					
47. Ivy Asset Strategy Fund (IRA)	A	Dividend			Sold	12/01/11	J	A	
48. Apple Bank CD	A	Interest			Redeemed	05/15/11	K	A	
49. Comcast	A	Dividend	J	T					
50. Discovery Communications	A	Dividend	J	T					
51. Direct TV	A	Dividend	J	T					

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52. Sovereign Bank Account	A	Interest	J	T					
53. TD Bank	A	Interest	J	T					
54. (Pimco) Total Return Annuity	A	Interest	J	T					
55. Fidelity 4 in 1 Fund	A	Interest	K	T					
56. Fidelity Asset Mgr.	A	Interest	K	T					
57. LOMTO Credit Union	A	Interest	L	T	Open	12/01/11	L		
58. Fidelity VIP Strategic Income	A	Dividend	K	T	Buy	03/29/11	K		
59. Yacktman Fund	A	Dividend	L	T	Buy	03/29/11	L		
60. (Fidelity) Permanent Portfolio (IRAF)	A	Interest	K	T	Buy	03/29/11	K		

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

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IX. CERTIFICATION.

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

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

Signature: **S/ ANDREW J. PECK**

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