

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/08/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

SELF-EMPLOYED - OWNER OF CONSTRUCTION COMPANY

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BLACKROCK NY MUNI INC.	C	Dividend	L	T					
2. BLACKROCK MUNIYIELD NY QLT	B	Dividend	K	T					
3. CALAMOS STRAT TOT RETURN FD	C	Dividend	K	T					
4. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	C	Dividend	L	T					
5. EATON VANCE TAX DIV INC DIV INC FD	D	Dividend	L	T					
6. EATON VANCE ENH INC FD II	C	Dividend	K	T					
7. FIRST TR EXCHANE TRADED FD DOW JONES IN		None			Sold	01/12/16	K	B	
8. FIRST TR DORSEY WRT FOCUS 5 ETF SH		None			Sold	01/12/16	K	A	
9. ML BANK BANK DEPOSIT PRGM(FIA CARD SERVICES) NA ACCOUNT	A	Interest	L	T					
10. GLOBAL X SUPERDIVI ETF		None			Sold	01/12/16	K	A	
11. GUGGENHEIM RUSSEL TO 50 EFT	A	Dividend	K	T					
12. INVESTCO SENIOR INC TRUST	C	Dividend	K	T					
13. ISHARES US CONSUMER GOODS ETF	A	Dividend	K	T					
14. ISHARES US INDUSTRIALS ET		None			Sold	01/12/16	J	A	
15. NUVEEN NY DIV ADV MUNI New Name NUVEEN NY QUALITY MUNI INC FD	C	Dividend	K	T					
16. POWERSHARES QQQ TRUST SE I	A	Dividend	K	T					
17. POWERSHARES PREFERRED PORTFOLIO	B	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Block, Frederic

Date of Report

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	(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)

18. POWERSHARES EXCHANGE TRADED FD TR II S7P 500	A	Dividend	K	T					
19. POWERSHARES VARIABLE RAT PREF PORTFOLIO	B	Dividend	K	T					
20. ALLIANZGI NFJ DIV INT PREM STRAT AND PREM STRAT FD	C	Dividend	K	T					
21. IRA - F. BLOCK									
22. ALLIANCEBERNSTEIN GLOBAL HIGH	C	Dividend	L	T					
23. BLACKROCK INTL GROWTH & INCOME TR	C	Dividend	K	T					
24. CALMOS STRAT TOT RET RETURN FD	C	Dividend	K	T					
25. COHEN AND STEERS QUALITY INC REALTY FD INC	C	Dividend	K	T					
26. DWA TECH LEADERS PORT POWERSHARES ETF	A	Dividend	K	T					
27. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	K	T					
28. EATON VANCE TX-AD GL DIV GL DIV INC FD	C	Dividend	K	T					
29. EATON VANCE ENH INC FD II	C	Dividend	K	T					
30. FIRST TR SR FL II SR FLOAT RATE INC FD II	C	Dividend	K	T					
31. FIRST TR NASDAQ 100 EQ		None			Sold	01/15/16	K	A	
32. FIRST TR DORSEY WRT FOCUS 5 ETF SH		None			Sold	01/15/16	K	A	
33. GABELLI DIV & INC TR INC TR	C	Dividend	L	T					
34. ISHARES US OIL & GAS EXPLORATION & PRODC		None			Sold	01/04/16	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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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)
35. ISHARES US HEATHCARE	A	Dividend			Sold	01/15/16	K	D	
36. LOOMIS SAYLES GROWTH FD CL A		None			Sold	12/19/16	L	A	
37. BANK OF AMERICA NA RASP ACCOUNT (FIA CARD SERVICES NA RASP)	A	Interest	K	T					
38. LOOMIS SAYLES STRAT INC FD CL C	A	Dividend			Sold	12/19/16	K	A	
39. LORD ABBETT FLOATING RATE FD CL C	B	Dividend			Sold	12/19/16	L	A	
40. LORD ABBETT BOND DEBENTURE FD CL C	A	Dividend			Sold	07/25/16	K	A	
41. MORGAN STANLEY EMERGING MARK	C	Dividend	K	T					
42. POWERSHARES DWA CONSUMER STAPLES MOMTUM PRFTL	A	Dividend			Sold	01/01/16	K	A	
43. POWERSHARES DWA COMSUMER CYCLICALS MOMNTM PRFTL	A	Dividend			Sold	01/15/16	K	A	
44. POWERSHARES QQQ TR UNITS SER 1	A	Dividend	K	T	Sold (part)	01/15/16	K	A	
45. POWERSHARES EXCHANGE TRADED FD TR 1		None			Sold	05/11/16	K	A	
46. POWERSHARES S&P INTL DEV LOW VOL PORT		None			Sold	01/15/16	K	A	
47. ALLIANZGI NFJ DIVID INT &PR(NFJ DIV INT PREM STRAT AND PREMIUM STRAT)	C	Dividend	K	T					
48. WESTERN ASSET HIGH INC OPPT FD	C	Dividend	K	T					
49. GUGGENHEIM S&P 500 TOP 50	A	Dividend	K	T	Buy	01/04/16	K		
50. ISHARES US UTILITIES	A	Dividend	K	T	Buy	02/09/16	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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51. FIRST TRUST CLOUD	A	Dividend	K	T	Buy	02/09/16	K		
52. DWA TECH LEADERS		None			Buy	02/09/16	K		
53. DWA TECH LEADERS		None			Sold	05/11/16	K	A	
54. POWERSHARES QQQ TRUST		None	J	T	Buy (add'l)	02/09/16	J		
55. FIRST TR DORSEY WRT		None			Buy (add'l)	02/09/16	J		
56. FIRST TR DORSEY WRT		None			Sold	04/28/16	J	A	
57. SPDR S&P 500 ETF	A	Dividend			Buy	02/09/16	K		
58. SPDR S&P 500 ETF		None			Sold	05/11/16	K	A	
59. LOOMIS SAYLES CORE PLUS	B	Dividend			Buy	05/12/16	L		
60. LOOMIS SAYLES CORE PLUS		None			Sold	12/19/16	L	A	
61. ISHARES EDGE MSCI	A	Dividend	K	T	Buy	05/12/16	K		
62. ISHARES US REAL ESTATE	A	Dividend	K	T	Buy	05/12/16	K		
63. SPDR GOLD TRUST		None			Buy	07/06/16	K		
64. SPDR GOLD TRUST		None			Sold	12/20/16	K	A	
65. ISHARES US INDUSTRIALS	A	Dividend	K	T	Buy	07/25/16	K		
66. BANK OF AMERICA NA RASP ACCOUNT	A	Interest	K	T					
67. BANK OF SMITHTOWN ACCOUNT	A	Interest	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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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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68. BANK OF AMERICA NA RASP ACCOUNT(1)	A	Interest	J	T					
69. APPLE INC. (1)	A	Dividend	J	T					
70. FACEBOOK INC CLASS A COMM(1)		None	J	T					
71. FORTINET INC(1)		None			Sold	04/01/16	J	A	
72. ISHARES US OIL & GAS EXPL & PRODC(1)	A	Dividend			Sold	04/01/16	J	A	
73. JP MORGAN CHASE & CO.(1)	A	Dividend			Sold	04/01/16	J	A	
74. NXP SEMICONDUCTORS N.V.(1)		None			Sold	04/01/16	J	A	
75. SKYWORKS SOLUTIONS INC(1)	A	Dividend			Sold	04/01/16	J	A	
76. SPOR INDEX SHS FDS(1)	A	Dividend			Sold	04/01/16	J	A	
77. SPOR SP EMERG ASIA PAC(1)		None			Sold	04/01/16	J	A	
78. DWA TECH LEADERS PORT POWERSHARES ETF (1)		None			Sold	04/01/16	J	A	
79. FIRST TR DORSEY WRT FOCUS 5 ETF SH (1)		None			Sold	04/01/16	J	A	
80. FIRST TRUST EXCHANGE TRADED (1)		None			Sold	04/01/16	J	A	
81. IRA-F. BLOCK (2)									
82. CONSUMER DISCRETIONARY (2)		None	K	T	Buy	12/21/16	K		
83. HEALTHCARE SELECT SPDR (2)		None	J	T	Buy	12/21/16	J		
84. ISHARES MSCI EAFE (2)	A	Dividend	K	T	Buy	12/21/16	K		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Block, Frederic

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85. ISHARES IBOXX (2)	A	Dividend	J	T	Buy	12/21/16	J		
86. ISHARES TIPS (2)		None	J	T	Buy	12/21/16	J		
87. ISHARES 3-7 YEAR (2)	A	Dividend	J	T	Buy	12/21/16	J		
88. ISHARES MBS ETF (2)	A	Dividend	K	T	Buy	12/21/16	K		
89. ISHARES IBOXX HIGH YIELD (2)	A	Dividend	J	T	Buy	12/21/16	J		
90. ISHARES INC CORE MSCI (2)	A	Dividend	J	T	Buy	12/21/16	J		
91. MATERIALS SELECT SECTOR (2)		None	J	T	Buy	12/21/16	J		
92. POWERSHARES EM SOVEREIGN (2)		None	J	T	Buy	12/21/16	J		
93. POWERSHARES PREFERRED (2)		None	J	T	Buy	12/21/16	J		
94. REAL ESTATE SELECT (2)		None	J	T	Buy	12/21/16	J		
95. SECTOR SPDR CONSMRS (2)		None	K	T	Buy	12/21/16	K		
96. SECTOR SPDR ENERGY (2)		None	J	T	Buy	12/21/16	J		
97. SECTOR SPDR INDUSTRIAL (2)		None	K	T	Buy	12/21/16	K		
98. SECTOR SPDR UTILITIES (2)		None	J	T	Buy	12/21/16	J		
99. SPDR S&P INSURANCE (2)		None	J	T	Buy	12/21/16	J		
100. VANECK VECTORS JP (2)		None	J	T	Buy	12/21/16	J		
101. VANGUARD FINANCIALS ETF (2)		None	J	T	Buy	12/21/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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102. VANGUARD INFORMATION (2)		None	K	T	Buy	12/21/16	K		
103. VANGUARD TELECOMM SRVCS (2)		None	J	T	Buy	12/21/16	J		
104. VANGUARD INTERMEDIATE (2)	A	Dividend	K	T	Buy	12/21/16	K		
105. VANGUARD SHORT TERM BOND (2)	A	Dividend	J	T	Buy	12/21/16	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Block, Frederic

Date of Report

05/08/2017

IX. CERTIFICATION.

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

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

Signature: s/ **Frederic Block**

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

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