

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) Block, Frederic	2. Court or Organization U.S. District Court	3. Date of Report 05/22/2012
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 01/01/2011 to 12/31/2011
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. 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. 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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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. PENN LAW SCHOOL

10/28/2011

PHILADELPHIA, PA

EDUCATIONAL
SEMINAR

SEMINAR

2.

3.

4.

5.

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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 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	C	Dividend	L	T					
3. COHEN & STEERS CLOSED END OPPTY FD	A	Dividend	J	T					
4. EATON VANCE INS NY MUN	C	Dividend	L	T					
5. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	A	Dividend	K	T					
6. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	K	T					
7. FIA CARD SERVICES NA	A	Interest	J	T					
8. FRONTIER COMM CORP	A	Dividend	J	T					
9. NUVEEN NY INV QUAL MUNI	B	Dividend	K	T					
10. NUVEEN NY PREF PLS MUNI	C	Dividend	L	T					
11. NUVEEN NY QUAL INC MUNI	C	Dividend	L	T					
12. NUVEEN NY SEL QUAL MUNI	C	Dividend	K	T					
13. PIMCO NY MUN INC FD	B	Dividend	K	T					
14. PRINCIPAL INVESTORS PRF SEC C FD	A	Dividend	K	T	Sold (part)	12/28/11	K		
15. RESEARCH IN MOTION LTD		None			Sold	09/19/11	J		
16. WESTERN ASSET/CLAYMORE INFL.- LNKD OPT & INC FD	B	Dividend			Sold	05/16/11	K		
17. IRA - [REDACTED]									

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 = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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) 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. ARES CAPITAL CORP.	A	Dividend	J	T					
19. PIMCO TOTAL RETURN FD CL C	B	Dividend			Sold	01/31/11	K	A	
20. -MORGAN STANLEY - TR V DEF INT TR PFD 5.75% 7/15/33	A	Interest	J	T					
21. -CITIGROUP CAP VIII DEF INT TR PFD STK 6.95% 09/15/31	C	Interest	J	T					
22. -VORNADO REALTY TRUST SER F CUM PFD SHS 6.75% PERP	B	Interest	J	T					
23. AMERICAN EURO PACIFIC GR FD CL C	A	Dividend			Sold	05/12/11	K		
24. AMERICAN GROWTH FD OF AMERICA CL C	A	Dividend			Sold	06/13/11	K	C	
25. ARROW DWA BALANCED FD CL A	A	Dividend	K	T	Sold (part)	04/21/11	L		
26. ASA MANAGED FUTURES STRT.FD. CL. A	A	Dividend	K	T	Buy	09/08/11	K		
27. BLACKROCK EQUITY DIV FD C	A	Dividend			Sold	06/28/11	L	C	
28. BLACKROCK EQUITY DIV FD C	A	Dividend	K	T					
29. CALMOS STRAT TOT RET RETURN FD	A	Dividend	K	T	Sold (part)	02/07/11	J	B	
30. EATON VANCE RISK MNGD DIV.EQ INCM FD	A	Dividend	K	T					
31. FIDELITY AVB INTERM BD. FD. CL C	A	Dividend	K	T	Buy	12/28/11	K		
32. FIRST EAGLE GLOBAL CL C	A	Dividend	K	T	Buy	10/18/11	K		
33. FRANKLIN RISING DIV. FD. CL. C	A	Dividend	L	T	Buy	06/23/11	L		
34. WELLS FARGO ADVANTAGE MULTI SECTOR INC. FD.	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	

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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. INVESCO VAN KMPN BD FD INC	A	Dividend			Sold	07/08/11	K		
36. INVESCO VAN KMPN BD FD INC	A	Dividend			Sold	07/08/11	J		
37. J HANCOCK INC SEC	A	Dividend			Sold	11/10/11	J		
38. J HANCOCK PREF INC 2	A	Dividend	K	T					
39. SATURNS-GS 2004-2 SER GS 5.75% 2/15/33	B	Dividend			Redeemed	02/17/11	K		
40. THORNBURG INC BUILDER FD CL C	B	Dividend	L	T					
41. FIA CARD SERVICES NA RASP	A	Interest	J	T					
42. LOOMIS SAYLES STRT. INC. FD. CL A	B	Dividend	K	T	Buy	01/26/11	K		
43. LOOMIS SAYLES STRAT INC FD CL C	C	Dividend	L	T	Sold (part)	03/21/11	K	C	
44. LORD ABBETT FLOATING FD CL C	A	Dividend			Sold	12/07/11	L		
45. LORD ABBETT SHORT DUR. INC. FD. C	B	Dividend	L	T	Buy	05/26/11	L		
46. MORGAN STANLEY 5.5% 7/28/21	A	Interest	K	T	Buy	09/27/11	K		
47. NFI DIV INT PREM STRAT AND PREMIUM STRAT FD	C	Dividend	K	T	Buy	02/14/11	K		
48. NUVEEN BUILD AMER BD FD	A	Dividend	L	T					
49. NUVEEN QUAL PREF INC 2	A	Dividend	K	T					
50. NUVEEN QUAL PREF INC 3	A	Dividend	K	T					
51. PIMCO ALL ASSET ALL AUTH FD CL C	C	Dividend			Sold	03/04/11	L	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)
52. PIMCO INCOME FD CL C	B	Dividend	K	T	Buy	05/17/11	L		
53. PRINCIPAL INVESTORS PRF SEC C FD	A	Dividend	L	T					
54. PRUDENTIAL JENNISON EQ INC FD CL C	B	Dividend	L	T	Sold (part)	09/12/11	K	A	
55. PRUDENTIAL TOTAL RETURN BD FD CL C	A	Dividend	L	T					
56. PUTNAM VOYAGER FD CL C	A	Dividend			Sold	09/08/11	K		
57. TEMPLETON GLOBAL BD FD CL C	C	Dividend	L	T	Buy	08/02/11	L		
58. BANK OF SMITHTOWN		None	J	T					

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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/ **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