

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) MAAS, FRANK S.	2. Court or Organization Southern District of New York	3. Date of Report 06/16/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States District Court 500 Pearl Street, Room 740 New York, New York 10007		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Vice President	Owners, Inc.
2. Member	Executive Committee, New York State Bar Association, Commercial and Federal Litigation Section
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. 2014	
3. 2014	
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. Georgetown University	11/19-21	Tysons Corner, Virginia	Conference speaker	Food, Transportation and Lodging
2. Sedona Conference	11/4-7	New Orleans, Louisiana	Conference speaker	Food, Transportation and Lodging
3. E-Discovery Institute	10/15-17	Fort Lauderdale, Florida	Conference speaker	Food, Transportation and Lodging
4. Conference on Preservation Excellence	9/9-11	Portland, Oregon	Conference speaker	Food, Transportation and Lodging
5. SoCall eDiscovery and Information Governance Retreat	7/13-14	Laguna Beach, California	Conference speaker	Food, Transportation and Lodging

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6.	Deloitte Symposium for Government Agencies	5/14-15	Washington, DC	Conference speaker	Food, Transportation and Lodging
7.	RSA Conference	2/26-26	San Francisco, California	Conference speaker	Food, Transportation and Lodging

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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.			

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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. Abbott Laboratories Common	A	Dividend	K	T					
2. Abbvie Common	A	Dividend	K	T					
3. American Electrical Power Common	A	Dividend	J	T					
4. Amgen Common		None	K	T					
5. AT&T Common	B	Dividend	K	T					
6. Bank of New York Common	B	Dividend	L	T					
7. BP Amoco PLC ADRs	B	Dividend	J	T					
8. ChevronTexaco Common	A	Dividend	K	T					
9. Comcast Corp. Class A Common	A	Dividend	K	T					
10. Conoco Class B Common	B	Dividend	K	T					
11. Dominion Resources Common	B	Dividend	L	T					
12. DuPont Common	A	Dividend	K	T					
13. Exelon Common	A	Dividend	J	T					
14. Exxon Mobil Common	B	Dividend	M	T					
15. Fairpoint Communications Common	A	Dividend	J	T					
16. Frontier Communications	A	Dividend	J	T					
17. General Electric Common	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 = \$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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☐ 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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18. General Mills Common	A	Dividend	K	T					
19. Hospira Common		None	J	T					
20. Idearc Common		None	J	T					
21. International Business Machines Common	A	Dividend	L	T					
22. JP Morgan/Chase Common	A	Dividend	J	T					
23. Monsanto Common	A	Dividend	K	T					
24. OGE Energy Corp Common	A	Dividend	K	T					
25. Pfizer Common	C	Dividend	M	T					
26. Phillips 66 Common	A	Dividend	K	T					
27. Plains All American Pipelines LP Unit Ltd P'Ship Interest		None	K	T					
28. PP&L Resources Common	A	Dividend	K	T					
29. Verizon Communications Common	B	Dividend	K	T					
30. Vodafone PLC New Group	A	Dividend	J	T					
31. Wells Fargo	A	Dividend	J	T					
32. Weyerhaeuser Common	C	Dividend	J	T					
33. Zoetis Common	A	Dividend	J	T			J		
34. Fidelity NY Muni Money Market Fund	B	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 = \$250,001 - \$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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35. Fidelity Tax-FreeMoney Market Fund	A	Dividend	K	T					
36. Alliance Municipal Income Fund--NY Portfolio, Class A	A	Dividend	K	T					
37. Alliance Bond Fund US Gov't Portfolio Class A	A	Dividend	J	T					
38. Franklin Insured NY Tax Free Income Fund	B	Dividend	L	T					
39. Franklin NY Tax Free Income Fund	B	Dividend	L	T					
40. Putnam Amer. Gov't Income Fund Class A	B	Dividend	K	T					
41. NY Insured Municipals Income Trust	A	Dividend	J	T					
42. Express Scripts Holding Co Common	A	Dividend	J	T					
43. Frontier Communications Common	A	Dividend	J	T					
44. GE Common	A	Dividend	J	T					
45. Medco Health Solutions Common									
46. Merck Common	A	Dividend	J	T					
47. Pfizer Common	C	Dividend	M	T					
48. Sensient Common	B	Dividend	M	T					
49. Cisco Common		None	K	T					
50. Citigroup Common		None	J	T					
51. JP Morgan/Chase Common	A	Dividend	K	T					

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52. Travelers Common	A	Dividend	J	T					
53. Western Asset NY Municipal Fund Class A	B	Dividend	L	T					
54. FMOXX	A	Dividend	J	T					
55. FFNOX	A	Dividend	L	T					
56. FSMKX	A	Dividend	K	T					
57. CMCSA	A	Dividend	K	T					
58. FE	A	Dividend	J	T					
59. ALU	A	Dividend	J	T					
60. T	B	Dividend	K	T					
61. VOD	A	Dividend	J	T					
62. VZ	A	Dividend	K	T					
63. Zoetis	A	Dividend	J	T			J		
64. New York City Deferred Compensation Plan (457)	A	Int./Div.	M	T					
65. Fidelity Value (IRA)	A	Dividend	K	T					
66. Oppenheimer Money Market Fund (IRA)	B	Dividend	L	T					
67. Oppenheimer Capital Appreciation Fund (IRA)(F)	A	Dividend	K	T					
68. Citibank Money Market Account (IRA)	A	Interest	J	T					

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69. Citibank Checking		None	J	T					
70. Citibank Savings	A	Interest	J	T					
71. FMAGX	B	Dividend	L	T					
72. FIGRX	A	Dividend	K	T					
73. FSLCX	A	Dividend	J	T					
74. FDCAX	B	Dividend	M	T					
75. FCNTX	A	Dividend	L	T					
76. FMCSX	A	Dividend	K	T					
77. FEQIX	A	Dividend	K	T					
78. FSICX	B	Dividend	M	T					
79. FDGFX	B	Dividend	K	T					
80. FDVLX	B	Dividend	K	T					
81. WEMMX	A	Dividend	K	T					
82. FDRXX	A	Interest	J	T					
83. TIAA-CREF Retirement Account	A	Dividend	L	T					
84. FNYXX (J)	A	Dividend	J	T					
85. TD Bank Checking (F)	A	Int./Div.	J	T			J		

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86. JP Morgan Chase Checking (J)	A	Interest	J	T					
87. JP Morgan Chase Checking (F)	A	Interest	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII: Line 15: Fairpoint Communications, which is shown on a brokerage statement, has no value and pays no dividends. Accordingly, I will not include it on future reports.

Line 45: Medco Health Solutions merged with Express Scripts Holding in April 2012. I added Express Scripts but neglected to delete Medco. In view of the merger, I will not report Medco on future reports.

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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/ **FRANK S. MAAS**

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