

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 6/20/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States District Court 500 Pearl Street, Room 740 New York, New York 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 <i>NONE</i> 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. _____	_____
2. Trustee	Trust II
3. Member	Executive Committee, New York State Bar Association, Commercial and Federal Litigation Section
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. 01/31/12	Xerox Legal Services Speaking Fee	\$1,500.00
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. 2012	
3. 2012	
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. Xerox Legal Services	January 31, 2012	New York, NY	Participate in Panel	Honorarium
2. American Conference Institute	April 25, 2012	Chicago, IL	Participate in Conference	Transportation, Lodging, and Meals
3. IQPC	May 14-16, 2012	London, England	Participate in Conference	Transportation, Lodging, and Meals
4. The Sedona Conference	June 20-21, 2012	Toronto, Canada	Participate in Conference	Transportation, Lodging, and Meals
5. E-Discovery Institute	October 17-19, 2012	Fort Lauderdale, FL	Participate in Conference	Transportation, Lodging, and Meals
6. Duke University	November 29-30, 2012	Durham, NC	Participate in Conference	Transportation, Lodging, and 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 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. American Electrical Power Common	A	Dividend	J	T					
3. Amgen Common		None	K	T					
4. AT&T Common	B	Dividend	K	T					
5. Bank of New York Common	B	Dividend	L	T					
6. BP Amoco PLC ADRs	B	Dividend	J	T					
7. ChevronTexaco Common	A	Dividend	K	T					
8. Comcast Corp. Class A Common	A	Dividend	K	T					
9. Conoco Class B Common	B	Dividend	K	T					
10. Constellation Energy Group Common	A	Dividend			Merged (with line 13)	03/16/12	M	A	
11. Dominion Resources Common	B	Dividend	L	T					
12. DuPont Common	A	Dividend	J	T					
13. Exelon Common	A	Dividend	J	T					
14. Exxon Mobil Common	B	Dividend	M	T					
15. Fairpoint Communications Common	A	Dividend	J	T			J		
16. Frontier Communications	A	Dividend	J	T					
17. General Electric Common	A	Dividend	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	
(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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☐ 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		05/01/12	K		
27. Plains All American Pipelines LP Unit Ltd P'Ship Interest		None	K	T					
28. PP&L Resources Common	A	Dividend	J	T					
29. Verizon Communications Common	B	Dividend	K	T					
30. Vodafone PLC New Group	A	Dividend	K	T					
31. Wells Fargo	A	Dividend	J	T					
32. Weyerhaeuser Common	C	Dividend	J	T					
33. Fidelity NY Muni Money Market Fund	B	Dividend	L	T					
34. Trust II (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	

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35. Apple Common	A	Dividend			Sold	04/24/12	J	A	
36. General Mills Common	A	Dividend	J	T					
37. Kraft Foods Class A Common	A	Dividend	J	T					
38. Medco Health Solutions Common		None	J	T					
39. Merck Common	A	Dividend	J	T					
40. Mondelez Int'l Common	A	Dividend	J	T	Spinoff (from line 37)	10/01/12	J		
41. Pepsico Common	A	Dividend	J	T					
42. Plains All American Pipelines LP Ltd P'ship Interest		None	J	T					
43. Yum Brands Common	A	Dividend	J	T					
44. Fidelity NY Muni Money Market Fund	A	Int./Div.	J	T					
45. FTFMX	A	Dividend	L	T					
46. End of [REDACTED] Trust II									
47. Fidelity Tax-FreeMoney Market Fund	A	Dividend	K	T					
48. Alliance Municipal Income Fund--NY Portfolio, Class A	A	Dividend	K	T					
49. Alliance Bond Fund US Gov't Portfolio Class A	A	Dividend	J	T					
50. Franklin Insured NY Tax Free Income Fund	B	Dividend	L	T					
51. Franklin NY Tax Free Income Fund	B	Dividend	L	T					

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52. Putnam Amer. Gov't Income Fund Class A	B	Dividend	K	T					
53. NY Insured Municipals Income Trust	A	Dividend	J	T					
54. Express Scripts Holding Co Common	A	Dividend	J	T					
55. Frontier Communications Common	A	Dividend	J	T					
56. GE Common	A	Dividend	J	T					
57. Medco Health Solutions Common	A	Dividend			Merged (with line 54)	04/02/12	J		
58. Merck Common	A	Dividend	J	T					
59. Pfizer Common	C	Dividend	L	T					
60. Sensient Common	B	Dividend	L	T					
61. Cisco Common		None	K	T					
62. Citigroup Common		None	J	T					
63. Fairpoint Communications Common		None	J	T					
64. JP Morgan/Chase Common	A	Dividend	K	T					
65. Travelers Common	A	Dividend	J	T					
66. Legg Mason Partners NY Tax Free Bond Fund Class A	B	Dividend	L	T					
67. FMOXX	A	Dividend	K	T					
68. FFNOX	A	Dividend	K	T					

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69. FSMKX	A	Dividend	K	T					
70. CMCSA		None	J	T					
71. FE	A	Dividend	J	T					
72. ALU	A	Dividend	J	T					
73. T	B	Dividend	K	T					
74. VOD	A	Dividend	J	T					
75. VZ	A	Dividend	K	T					
76. New York City Deferred Compensation Plan (457)		None	L	T					
77. Fidelity Value (IRA)	A	Dividend	K	T					
78. Oppenheimer Money Market Fund (IRA)	B	Dividend	L	T					
79. Oppenheimer Capital Appreciation Fund (IRA)	A	Dividend	K	T					
80. Citibank Money Market Account (IRA)	A	Interest	J	T					
81. Citibank Checking		None	J	T					
82. Citibank Savings	A	Interest	J	T					
83. FMAGX	B	Dividend	L	T					
84. FIGRX	A	Dividend	K	T					
85. FSLCX	A	Dividend	J	T					

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86. FDCAX	B	Dividend	L	T					
87. FCNTX	A	Dividend	L	T					
88. FMCSX	A	Dividend	K	T					
89. FEQIX	A	Dividend	K	T					
90. FSICX	B	Dividend	M	T					
91. FDGFX	B	Dividend	K	T					
92. FDVLX	B	Dividend	K	T					
93. WEMMX	A	Dividend	J	T					
94. FDRXX	A	Interest	J	T					
95. TIAA-CREF Retirement Account	A	Dividend	L	T					
96. FNYXX	A	Dividend	J	T					
97. JP Morgan Chase Savings	A	Interest	J	T					
98. JP Morgan Chase Checking	A	Interest	J	T					
99. JP Morgan Chase Checking	A	Interest	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/ **FRANK S. MAAS**

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)

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