

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Spatt, Arthur D.	2. Court or Organization Eastern District of New York	3. Date of Report 04/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Long Island Federal Courthouse 100 Federal Plaza Central Islip, New York 11722		
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.		
2.		
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. 1979	Prior pension and profit-sharing plans rolled over (See Rider 1 annexed hereto)
2. 1979	Individual Retirement "Keogh" Plan (See Rider 2 annexed)
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. 2013	New York State Retirement Pension	\$19,528.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
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.)*

<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. STOCKS									
2. AIRTOUCH COMMUNICATIONS	A	Dividend	J	T					
3. AMERITECH - COMMON	A	Dividend	J	T					
4. AT&T - COMMON	A	Dividend	J	T					
5. BELL ATLANTIC - COMMON	A	Dividend	J	T					
6. CHEVRON - TEXACO	A	Dividend	K	T					
7. COMCAST - COMMON	A	Dividend	J	T					
8. EASTMAN KODAK - COMMON	A	Dividend	J	T					
9. PACIFIC TELESIS - COMMON	A	Dividend	J	T					
10. PEPSICO - COMMON	A	Dividend	K	T					
11. SOUTHWESTERN BELL - COMMON	A	Dividend	J	T					
12. U.S. WEST - COMMON	A	Dividend	J	T					
13. XEROX - COMMON	A	Dividend	J	T					
14. U.S. WEST MEDIA GROUP	A	Interest	J	T					
15. EASTMAN CHEMICAL CO.	A	Dividend	J	T					
16. AIRTOUCH COMMUNICATIONS	A	Dividend	J	T					
17. NCR CORP.	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	
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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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)

18. TRICON GLOBAL	A	Dividend	J	T					
19. SBC COMMUNICATIONS	A	Dividend	J	T					
20. COMPAQ COMPUTER	A	Dividend	J	T					
21. GENERAL ELECTRIC CO.	A	Dividend	J	T					
22. AGERE SYSTEMS, INC.	A	Dividend	J	T					
23. YUM BRANDS, INC.	A	Dividend	J	T					
24. HEWLETT PACKARD CO.	A	Dividend	J	T					
25. QWEST COMMUNICATIONS	A	Dividend	J	T					
26. CHESAPEAKE UTILITIES CORP.	A	Dividend	J	T					
27. VODAFONE	A	Dividend	J	T					
28. iDEARC INC.	A	Dividend	J	T					
29. LSI Corp.	A	Dividend	J	T					
30. LIMITED PARTNERSHIP									
31. BERKSHIRE LAND VENTURE CO.	A	Dividend	J	U					
32. BERKSHIRE LAND VENTURE CO.	A	Interest	J	U					
33. INTEREST									
34. NORTH FORK BANK, including IRA accounts & cash	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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☐ 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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35. Portion of Pension Plan Rolled Over (See Part II)									
36. BONDS									
37. NEW YORK STATE HOUSING FINANCE AGENCY	D	Interest	L	T					
38. POWER AUTHORITY OF NY	C	Interest	K	T					
39. DORMITORY AUTHORITY OF NY	D	Interest	L	T					
40. STATE OF ISRAEL BONDS	A	Interest	J	T					
41. NY STATE THRUWAY AUTHORITY	A	Interest	J	T					
42. NYS DEPT. OF HEALTH	A	Interest	J	T					
43. N.Y. STATE DORMITORY AUTH. ROCHESTER	A	Interest	K	T					
44. ONEIDA CNTY NY INDL DEV AGY	A	Interest	K	T					
45. Rochester, NY	A	Interest	J	T					
46. ALBANY CNTY NY APRT AUTH	A	Interest	J	T					
47. AMHERST NY DEV CORP	A	Interest	K	T					
48. North Colonie School Dist.	A	Interest	K	T					
49. Port Authority NY & NJ	A	Interest	K	T					
50. L.I. Power Authority	A	Interest	J	T					
51. Triborough Bridge & Tunnel Authority	A	Interest	K	T					

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52. NY STATE DORMITORY AUTHORITY	B	Interest	K	T					
53. NORTHPORT-E.NORTHPORT	A	Interest	K	T					
54. Syracuse NY UGO	A	Interest	J	T					
55. Sachem Cent. Sch. Dist.	A	Interest	J	T					
56. NY STATE POWER AUTHORITY	A	Interest	J	T					
57. NY State Environmental FACS	A	Interest	J	T					
58. Buffalo, NY	A	Interest	J	T					
59. Niagara Wheatfield, NY Central	A	Interest	K	T	Sold	06/17/13	J	A	
60. HAVERSTRAW STRONG POINT	A	Interest	J	T					
61. MONROE CNTY NY INDL DEV CORP	A	Interest	K	T					
62. LIBERTY NY DEV CORP	A	Interest	K	T					
63. ROME NY	A	Interest	K	T					
64. RENSSELEAR NY MUN.	A	Interest	J	T					
65. IRA STOCKS									
66. ALLEGHENY ENERGY INC.	A	Dividend	J	T					
67. AMERICAN ELECTRIC POWER CO., INC.	A	Dividend	J	T					
68. CASCADE NATURAL GAS CORP.	A	Dividend	J	T					

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69. CENTRAL & SOUTH WEST CORP.	A	Dividend	J	T					
70. CONNECTIV INC.	A	Dividend	J	T					
71. CONNECTIV INC. CL A	A	Dividend	J	T					
72. ENERGY EAST CORP..	A	Dividend	K	T					
73. ENOVA CORP.	A	Dividend	J	T					
74. FPL GROUP INC.	A	Dividend	J	T					
75. FIRST ENERGY CORP.	A	Dividend	J	T					
76. MIDAMERICAN ENERGY HOLDINGS CO.	A	Dividend	J	T					
77. NEVADA POWER CO.	A	Dividend	J	T					
78. NEW ENGLAND ELECTRIC SYSTEM	A	Dividend	J	T					
79. POTOMAC ELECTRIC POWER CO.	A	Dividend	J	T					
80. TEXAS UTILITIES CO. (Holding Co.)	B	Dividend	K	T					
81. TEXAS UTILITIES	A	Dividend	J	T					
82. WESTERN RESOURCES INC. (Western Energy, Inc.)	A	Dividend	J	T					
83. PMC CAPITAL INC.	A	Dividend	J	T					
84. ROCHESTER GAS & ELECTRIC CORP.	A	Dividend	J	T					
85. SEMPA ENERGY	A	Dividend	J	T					

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86. SIERRA PACIFIC	A	Dividend	J	T					
87. PEPSCO HOLDINGS, INC.	A	Dividend	J	T					
88. EAGLE MERGER CORP.	A	Dividend	J	T					
89. RGS ENERGY GROUP, INC.	A	Dividend	J	T					
90. OCCIDENTAL PETROLEUM CORP.	A	Dividend	J	T					
91. PMC COMMERCIAL TRUST	A	Dividend	J	T					
92. THE SOUTHERN COMPANY	A	Dividend	J	T					
93. PUGET ENERGY INC.	A	Dividend	J	T					
94. CHESAPEAKE UTILITIES CORP.	A	Dividend	J	T					
95. VERIZON COMMUNICATIONS	A	Dividend	J	T					
96. QUEST DIAGNOSTICS	A	Dividend	K	T					
97. CHEVRON CORP.	A	Dividend	K	T					
98. ENERGY TRANSFER PARTNERS	A	Dividend	K	T					
99. CORPORATE BONDS									
100. TENNESSEE VALLEY AUTHORITY Power Bond 1993 Series C	A	Interest	J	T					
101. COMMONWEALTH EDISON CO. 8.625% Due 2/1/2002	A	Interest	J	T					
102. OPPENHEIMER HIGH YIELD FUND A (See Rider 2)	B	Dividend	M	T					

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103. WARWICK NY CENT.	A	Interest	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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

RIDER 1 (Response to "II - AGREEMENTS" -- first page)

As a former participating member of the Spatt & Bauman, P.C. pension and profit-sharing plan, when I withdrew from the firm and the practice of law in 1978, my share of the pension plan was severed and "rolled over." The funds were not used and were placed in individual retirement accounts in two types of investments as follows:

- a) bonds and stocks in the aggregate value of approximately \$298,000.00 as of December 31, 2013.
- b) cash in the Capital One Savings Bank, Great Neck, New York branch, in the estimated sum of \$25,206.22 as of December 31, 2013.

RIDER 2 (Response to "II - AGREEMENTS" -- first page)

Prior to entering into the Spatt & Bauman, P.C. pension plan, when I was a single practitioner I started an individual retirement "Keogh Plan." When I withdrew from the practice of law, I "rolled over" the Keogh Plan, and it remains in that unused condition. The "Keogh" funds are in an Oppenheimer High Yield Fund and are in the value of approximately \$30,000.00 as of December 31, 2013.

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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/ **Arthur D. Spatt**

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