

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Holwell, Richard J.	2. Court or Organization USDC/SDNY	3. Date of Report 6/18/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Retired	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 500 Pearl St. Chambers 1950 New York, NY 10007-1312	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. Partner	Van Duyn (SEE SECTION VIII, Paragraph 1)
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. 8/01/2000	Please see section VIII, paragraph 2.
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	White & Case LLP (post retirement payments fixed at time of retirement on November 1, 2003.	\$31,737.96
2. 2011	White & Case LLP (Pension)	\$52,468.44
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. 2011	Self-employed architect
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.)*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. Van Duyn Assoc., NY, NY	E	Rent	P1	W					
2. Bell South Common Stock (certificate)	A	Dividend	J	T					
3. Brokerage Account(Schwab Reg) # 1									
4. - Ford Motor Credit	A	Interest	L	T					
5. - Tortoise Energy Infrastrucutres	C	Dividend	L	T					
6. - Baird Core Plus	B	Interest	M	T					
7. - PIMCO Mortgage Backed Sec	D	Interest	M	T					
8. - NY City Muni Wtr Fin, 6/15/24	D	Interest	M	T					
9. - NYS Dorm Revs St Supp, 2/15/16	C	Interest	M	T					
10. - PIMCO Total Return	D	Interest	L	T	Sold (part)	11/23/11	K	A	
11. - Aston Lake Partners Fund	A	Dividend	K	T					
12. - PIMCO Global Multi Asset	B	Int./Div.	K	T					
13. - Schwab Money Market Fund	A	Int./Div.	M	T					
14. - Vanguard S-T Inv Grade	D	Interest	L	T	Sold (part)	06/28/11	K	A	
15. - Vanguard S-T Inv Grade					Sold (part)	08/25/11	K	A	
16. - Vanguard S-T Inv Grade					Sold (part)	09/30/11	K	A	
17. - SPDR S&P Div	D	Dividend	N	T	Sold (part)	12/09/11	M	D	

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 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. - SPDR S&P Div					Sold (part)	06/27/11	K	D	
19. - SPDR S&P Div					Sold (part)	12/06/11	M	D	
20. - Baird Int Muni Bond Fund	C	Int./Div.	L	T	Sold (part)	01/12/11	L	A	
21. Merrill Lynch IRA	A	Dividend	L	T					
22. - ML Pacific Bond Fund									
23. Brokerage Acct Schwab IRA #1	F	Int./Div.	P1	T					
24. - Ishares MSCI Aus Idx Fd									
25. - Bishop Volatililty Fund					Buy	03/16/11	K		
26. - JP Morgan Alerian					Buy	03/23/11	K		
27. - MS CAP TR III									
28. - Buffalo Mid Cap									
29. - Oakmark Equity Income									
30. - PIMCO Total Return Inst									
31. - PIMCO Total Return D					Sold	02/16/11	M		
32. - Terex Corp Bond					Sold	01/15/11	M		
33. - Morgan Stanley Bond (reported incorrectly was full sale)									
34. - Schwab Money Market Fund									

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. - Dow Chem Bond									
36. - Baird I-T Bond Fund									
37. - JP Morgan Emerg Mkt Debt									
38. - JP Morgan Strategic Income									
39. - PIMCO Foreign Bond									
40. - JP Morgan Mortgage Backed Sec									
41. - Matthews India					Sold	02/11/11	M		
42. - Ishares TR S&P Mid Cap									
43. - PIMCO Global Multi Asset					Buy	03/25/11	K		
44. - Royce Low Priced Stock Fund					Buy	01/11/11	L		
45. - TFS Market Neutral					Buy	03/29/11	L		
46. - Merk Hard Currency					Buy	09/08/11	K		
47. Brokerage Account Schwab IRA # 2	C	Int./Div.	M	T					
48. - Metro West Total Return									
49. - Oakmark Equity Income									
50. - TCW Total Return									
51. - JP Morgan Strategic Income									

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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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52. - Permanent Portfolio (PRPF)									
53. - Eaton Vance Global Macro									
54. Fidelity Annuity		None	J	T					
55. - Fidelity Money Market Fund									
56. White & Case SIP	E	Int./Div.	P1	T					
57. - Pimco Total Return									
58. - State Street Money Market Fund									
59. - Permanent Portfolio (PRPF)					Buy (add'l)	11/15/11	L		
60. - PIMCO Global Multi Asset					Buy (add'l)	11/15/11	K		
61. - Vanguard Intl Protection (partial sale in 2009, not total)									
62. - TCW High Yield									
63. - ING Money Market Fund									
64. - Ishares Brazil									
65. - Sector SPDR Energy					Sold	08/08/11	M		
66. - TFS Market Neutral									
67. - PIMCO High Yield					Sold (part)	10/15/11	K		
68. - PIMCO Mortgage Backed					Buy (add'l)	11/15/11	K		

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69. - SPDR Index SHS S&P China									
70. - Vanguard Short Term Inv Grade									
71. - Wintergreen (WGRNX)									
72. - Fidelity Capital & Income			K	T	Buy	02/17/11	L		
73. - Fidelity Capital & Income					Sold (part)	10/15/11	K		
74. - PIMCO Income Fund			L	T	Buy	03/02/11	K		
75. - TCW Emerg Mkts			K	T	Buy	03/30/11	K		
76. - TFS Small Cap					Buy	03/02/11	K		
77. - TFS Smal Cap					Sold	10/15/11	K		
78. - Sector SPDR Energy					Sold	08/11/11	M		
79. - Marsico Flex Cap					Buy	03/02/11	K		
80. - Marsico Flex Cap					Sold	08/11/11	K		
81. Schwab IRA # 3	A	Int./Div.	J	T					
82. - TCW Total Return									
83.									
84.									

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

1. Regarding Section I:

Partner, Van Duyn Associates. Van Duyn Associates is a general partnership formed under New York law pursuant to a restated and amended agreement dated December 21, 1979. I [REDACTED] 60% interest in the partnership which owns the building [REDACTED]

2. Regarding Section II:

White & Case Savings and Investment Plan ("SIP"). White & Case is my former law firm. The White & Case SIP was originally established in 1983. It is a qualified 401(K) plan. Subject to certain qualifications, all employees can participate in the plan and may remain in the plan after retirement. Participants are able to select their investments from among a limited list of mutual funds only. In addition, a brokerage account is also available to participants that allows for additional investments.

White & Case Retirement Income Plan ("RIP"). White Case is my former law firm. The White & Case RIP is a defined benefit pension originally adopted in 1985 and is limited to certain partners and employees of the Firm. The RIP provides upon retirement an annual benefit which is a percentage of the total compensation earned by a participant during membership in the plan. The contributions to RIP are actuarially determined and are paid by the Firm to a trust fund. I am fully vested in the plan. Participants have no control over the trust fund's investment.

White & Case Partnership Agreement. White & Case is my former law firm. The amended and restated partnership agreement dated August 1, 2000 governs the operation of the Firm. The equity partners of the Firm are parties to the agreement. Upon ceasing to be an equity partner, such partner's capital account is fixed and distributed in monthly payments over a term of six years. All such payments were made by December 31, 2009.

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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/ **Richard J. Holwell**

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