

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) BAER JR., HAROLD	2. Court or Organization UNITED STATES DISTRICT COURT	3. Date of Report 7/18/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2011 to 12/31/2011
7. Chambers or Office Address 500 PEARL STREET U.S. COURTHOUSE ROOM 2230 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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Matthew Bender & Co. Book Royalties	\$1,263.00
2. 2011	PENSION - NY STATE EMPLOYEES RETIREMENT SYSTEM	\$22,370.00
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. 2011	TEACHERS INSURANCE & ANNUITY ASSOCIATION
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. American Conference Institute	4/13/2011 to 4/15/2011	San Francisco, CA	Speaker	lodging and transportation
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.	WELLS FARGO ADVISORS (H)	SECURITIES MARGIN ACCOUNT	J
2.	Citibank	Part VII Line 23 Rental Property, Sayville, N.Y. Appraisal Date February 23, 2009	M
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. ALERIAN MLP	A	Dividend	J	T	Buy	11/21/11	J		
2. CYPRESS SEMI CONDUCTOR CORP.	A	Dividend	J	T	Sold (part)	09/19/11	J	B	
3. FIRST ENERGY CORP.	A	Dividend	K	T	Sold (part)	09/19/11	J	C	
4. FORD MOTOR CO.	A	Dividend	J	T					
5. ICICI BANK LTD. SPON ADR	A	Dividend	J	T					
6. INTEL CORP.	A	Dividend	J	T					
7. .PFIZER INC.	B	Dividend	K	T					
8. PLAINS AMERICAN PIPELINE	B	Int./Div.	K	T					
9. FIRST EAGLE SOGEN GLOBAL FD	A	Dividend	K	T					
10. OPPENHEIMER AMT FREE NY MUNI FD	C	Interest	L	T					
11. OPPENHEIMER NY MON. FD	C	Interest	L	T					
12. CARDINAL HEALTH INC.	A	Dividend	J	T					
13. EXXON MOBIL CORP.	A	Dividend	K	T					
14. GENERAL ELECTRIC	A	Dividend	J	T					
15. HOME DEPO INC.	A	Dividend	K	T					
16. MEDCO HEALTH SOLUTIONS	A	Dividend	J	T	Sold (part)	01/06/11	J	A	
17. PROCTOR & GAMBLE CO.	B	Dividend	K	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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18. ROCHESTER FD MUNI INC.	D	Interest	M	T					
19. HEWLETT PACKARD CO.	A	Dividend			Sold	09/19/11	J	A	
20. DWS GLOBAL THEMATIC FD		None			Sold	10/24/11	J	A	
21. INTERACTIVE BROKERS		None			Sold	10/21/11	J	A	
22. I SHARES TR	A	Dividend			Sold	09/19/11	J	A	
23. RENTAL PROPERTY SAYVILLE, NY appraisal date - 2/23/2009 (X)	D	Rent	P1	Q					
24. 3.70% Interest Building Brooklyn, N.Y.	A	Rent	J	W					
25. Oppenheimer Capital Appreciation FD IRA (W)	C	Distribution	J	T					
26. VF Advantage Mun/MM	A				Sold	07/31/11	J	A	
27.									
28.									
29.									
30.									
31.									
32.									
33.									

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

Line 5 - Old Name: DWS Scudder Global Fund

Line 9 - CypressSemi Conductor Corp. was gifted.

Line 23 - rental property appraisal date is February 21, 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/ **HAROLD BAER JR.**

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
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