

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) Kravitz, Mark R.	2. Court or Organization District Court-Connecticut	3. Date of Report 05/08/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge--Active	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 141 Church Street NewHaven, CT 06510		
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. Insert signature on last page.		

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. Trustee	Trust # 4 (trust)
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. Professor	Yale Law School -- \$3,000
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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. Third Avenue Real Estate Value	A	Dividend	K	T					
2. Fidelity Contrafund	A	Dividend	L	T					
3. Fidelity AMT Tax-Free Money Market Fund	C	Distribution	L	T					
4. Fidelity Cash Reserves	D	Distribution	M	T					
5. Third Avenue Value	A	Distribution	M	T					
6. Fidelity Cash Management Account	A	Dividend	L	T					
7. Guilford Savings Bank	A	Interest	J	T					
8. Pacific Ethanol Inc.	A	Dividend	J	T	Sold	8/10/11	J	E	
9. Fidelity Int'l Discovery Fund	A	Dividend	L	T	Sold	12/10/11	L	A	
10. Fidelity Spartan Mkt Index Investor Class	B	Distribution	L	T					
11. Fidelity Institutional Money Mkt Fund (see note 5)	E	Distribution	P1	T					
12. Janus Triton Fund	A	Distribution	L	T	Buy	12/20/11	L		
13. Spartan Market Index	A	Distribution	L	T	Buy	4/15/11	L		
14. Fidelity Spartan 500 Index Advantage Class	B	Distribution	M	T					
15. Awbury Partners (see note 1)	G	Distribution	P2	T					
16. P2 Capital Fund IV, L.P. (see note 2)	A	Distribution	M	T					
17. Saugatuck Capital VI LLC (see note 3)	A	Distribution	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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18. Saugatuck Capital V LLC (see note 3)	C	Distribution	L	T					
19. IRA # 1 (Roll-Over IRA created 7/1/03)									
20. --Fidelity Cash Reserves	C	Interest	M	T					
21. --Fidelity Diversified Int'l Fund	A	Dividend	L	T					
22. --Spartan 500 Index Fid Advantgae	B	Dividend	L	T					
23. --Fidelity Contrafund	A	Dividend	L	T					
24. --Fidelity Puritan Fund	B	Dividend	K	T					
25. --Fidelity Value Fund	A	Dividend	L	T					
26. --Third Avenue Value Fund	A	Dividend	M	T					
27. --Spartan Int'l Index Investors	B	Distribution	L	T					
28. -- Fidelity Inflation Protected Bond fund	A	Distribution	L	T					
29. Alpine Dynamic Dividend Fund	A	Distribution	L	T					
30. --General Electric	A	Dividend	J	T	Buy	8/10/11	J		
31. --Genzyme Corp.	A	Dividend	K	T	Sold	4/05/11	K	A	
32. IRA # 2									
33. --Janus Orion Fund	A	Distribution	J	T					
34. Custodian Account # 1									

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35. --Fidelity Cash Management Account	A	Interest	K	T					
36. --Needham Aggressive Growth fund	A	Distribution		T	Buy	2/17/11	J		
37. --Spartan 500 Index Investor Class	A	Dividend	K	T					
38. --Nova Measuring Instruments	A	Distribution	J	T	Buy	8/3/11	J		
39. -- Vanguard Sector Index Fund	A	Distribution	J	T	Buy	3/28/11	J		
40. --Third Avenue Value Fund	A	Distribution	K	T					
41. --American Capital Strategies	A	Dividend	J	T					
42. --Fidelity Contrafund Fund	A	Dividend	L	T					
43. --Ishares Emerging Market	A	Distribution	J	T	Buy	7/19/11	J		
44. --Fidelity Cash Reserves	A	Distribution	J	T					
45. Vanguard International Equity Index Fund	A	Distribution	J	T	Buy	03/29/11	J		
46. Vanguard Information Technology Vipers	A	Distribution	J	T	Buy	03/29/11	J		
47. --Awbury Partners (see note 1)	D	Distribution	O	T					
48. Trust # 4									
49. --Awbury Partners (see note 1)	D	Distribution	O	T					
50. --Fidelity Cash Management Account	B	Interest	M	T					
51. --Third Avenue Value Fund	A	Distribution	L	T					

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52. Fidelity Cash Management Account	A	Distribution	M	T					
53. --American CenturyUltra Fund	A	Distribution	J	T					
54.									
55.									
56.									
57.									
58.									
59.									

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

NOTE 1: Awbury Partners, L.P. is a large diversified investment partnership that is managed by one, overall fund manager and several investment advisors. Awbury Partners is, in effect, a privately held mutual fund. Neither the reporting person, his [REDACTED] his [REDACTED] or any trust in which he is a trustee controls or determines either (1) who the fund manager or investment advisors are or (2) what investments Awbury Partners purchases or sells or when it does so. Thus, neither the reporting person, his [REDACTED] [REDACTED] or trusts in which he is a trustee has any control regarding the investments of Awbury Partners. The value of Awbury Partners' investments is determined quarterly on the basis of the value of the partnerships underlying investments.

NOTE 2: P2 Capital Fund IV, L.P., is a pooled investment partnership, which is not controlled by either the reporting party or his [REDACTED]

NOTE 3: Saugatuck Capital V LLC and Saugatuck Capital VI LLC are private equity partnerships, which are not controlled by either the reporting party or his [REDACTED]. The Capital V partnership is currently wholly invested in Femco Holdings LLC, a privately held company located in Pennsylvania, and the Capital VI is invested in Exocor, Inc., a Canadian corporation.

NOTE 4: Trusts #1 and 2, which were shown on previous reports, were terminated effective as of 02/15/06 and all of the assets (which were cash) then held by the trusts were distributed in their entirety to the beneficiaries of the trusts, so that as of December 31, 2006, neither of these trusts existed. The other trusts will continue to be numbered from #3 to avoid confusion with prior reports. Trust #3 was terminated effective 06/21/08 and the assets within the trust were distributed in kind to the beneficiary of the Trust. As a result, as of December 31, 2008, Trust # 3 held no assets and was terminated. Trust #3 will not appear in future reports. Trust # 5 terminated in September 2010 and will not be included in future reports. Only Trust # 4 will continue in 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/ Mark R. Kravitz

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
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Washington, D.C. 20544