

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/03/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 141 Church Street New Haven, CT 06510	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 NONE 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust # 1 (trust for [REDACTED])
2. Trustee	Trust # 2 (trust for [REDACTED])
3. Custodian	[REDACTED] # 1
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Kravitz, Mark R.

Date of Report

05/03/2010

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. 11/11/09	University of Melbourne Graduate School of Law, Melbourne, Australia (see NOTE 6)	\$8,239.50
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.	American Bar Association	May 2009	Chicago, IL	Lecture: E-Discovery Conference	Transportation, lodging, meals
2.	American Bar Association, Litigation Section	June 2009	Hot Springs, VA	Lecture: Annual Meeting	Transportation, lodging, meals
3.	National Employment Lawyers Association	June 2009	Rancho Mirage, CA	Lecture: Annual Meeting	Transportation, lodging, meals
4.					
5.					

FINANCIAL DISCLOSURE REPORT
Page 3 of 9

Name of Person Reporting
Kravitz, Mark R.

Date of Report
05/03/2010

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. _____	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Kravitz, Mark R.

Date of Report

05/03/2010

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 Value Fund	A	Dividend	M	T					
2. Third Avenue Real Estate Value	A	Dividend	K	T					
3. Fidelity Contrafund	A	Dividend	L	T					
4. Fidelity AMT Tax-Free Money Market Fund	C	Distribution	M	T	Sold (part)	05/07/09	K	A	
5. Fidelity Cash Reserves	D	Distribution	M	T					
6. Fidelity Cash Management Account	A	Dividend	K	T					
7. Conn. Bond Due 06/15/10	B	Interest	K	T					
8. Guilford Savings Bank	A	Interest	J	T					
9. Pacific Ethanol Inc.	A	Dividend	J	T					
10. Fidelity Int'l Discovery Fund	A	Dividend	K	T					
11. Fidelity Spartan Mkt Index Investor Class	B	Distribution	K	T					
12. Fidelity Cash Management Money Market Fund (see note 5)	B	Distribution			Sold	2/11/09	P1		
13. Fidelity Institutional Money Mkt Fund (see note 5)	E	Distribution	P1	T	Buy	2/11/09	P1		
14. Fidelity Spartan 500 Index Advantage Class	B	Distribution	L	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	Buy	09/18/09	L		
17. Saugatuck Capital VI LLC (see note 3)	A	Distribution	L	T	Buy	07/06/09	L		

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Kravitz, Mark R.

Date of Report

05/03/2010

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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				
	(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. 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	L	T					
21. --Fidelity Diversified Int'l Fund	A	Dividend	K	T					
22. --Spartan 500 Index Fid Advantgae	B	Dividend	L	T					
23. --Fidelity Contrafund	A	Dividend	K	T					
24. --Fidelity Puritan Fund	B	Dividend	K	T					
25. --Fidelity Value Fund	A	Dividend	K	T					
26. --Third Avenue Value Fund	A	Dividend	M	T					
27. --Alpine Dynamic Dividend Fund	D	Dividend			Sold	01/10/09	L	A	
28. --Spartan Int'l Index Investors	B	Distribution	L	T					
29. -- Fidelity Inflation Protected Bond fund	A	Distribution	L	T	Buy	10/11/09	L		
30. --Goldman Sachs	A	Dividend	K	T	Buy (add'l)	01/20/09	J		
31. --Goldman Sachs	A	Dividend	K	T	Sold (part)	09/01/09	K		
32. --General Electric	A	Dividend	J	T					
33. --Genzyme Corp.	A	Dividend	K	T					
34. --Genzyme Corp.	A	Dividend	K	T	Buy (add'l)	04/22/09	J		

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT
Page 6 of 9

Name of Person Reporting
Kravitz, Mark R.

Date of Report
05/03/2010

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35. IRA # 2									
36. --Janus Orion Fund	A	Distribution	K	T					
37. Custodian Account # 1									
38. --Fidelity Cash Management Account	A	Interest	K	T					
39. --Spartan 500 Index Investor Class	A	Dividend	K	T					
40. --Third Avenue Value Fund	A	Distribution	L	T					
41. --American Capital Strategies	A	Dividend	J	T					
42. --Fidelity Contrafund Fund	A	Dividend	K	T					
43. --Fidelity Cash Reserves	A	Distribution	J	T					
44. --Awbury Partners (see note 1)	D	Distribution	O	T					
45. Trust # 4									
46. --Awbury Partners (see note 1)	D	Distribution	O	T					
47. --Fidelity Cash Management Account	B	Interest	M	T					
48. --Third Avenue Value Fund	A	Distribution	L	T					
49. --American Century Ultra Fund	A	Distribution	J	T					
50. Trust # 5									
51. --Awbury Partners (see note 1)	E	Distribution	PI	T					

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3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Kravitz, Mark R.

Date of Report

05/03/2010

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52. --Oracle Common Stock	A	Dividend	K	T					
53. --Spartan 500 Index Investors Class	A	Distribution	J	T					
54. --Fidelity Cash Reserves	C	Dividend	K	T					
55. --Third Avenue Value Fund	A	Distribution	K	T					
56. --Fidelity Contrafund	A	Distribution	K	T					
57. --Fidelity Cash Management Account	B	Interest	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Kravitz, Mark R.

Date of Report

05/03/2010

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, [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, [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 [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 [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 will terminate in 2010.

NOTE 5: The CT Municipal Money Market was transferred electronically to Fidelity Institutional Money Market Fund in on February 11, 2009.

NOTE 6: Payment for teaching at University of Melbourne was split between 2009 and 2010. The second payment of \$7952.60 was made on February 17, 2010 and will be shown on next year's report. The payments differed in amount because of currency fluctuations, as the teaching stipend was based on Australian dollars. The payment was intended to cover the reporting person's travel expenses, lodging and food.

FINANCIAL DISCLOSURE REPORT
Page 9 of 9

Name of Person Reporting
Kravitz, Mark R.

Date of Report
05/03/2010

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

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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