

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) Block, Frederic	2. Court or Organization U.S. District Court	3. Date of Report 04/18/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 225 Cadman Plaza E. Eastern District Court of NY Brooklyn, NY 11201		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Officer	Frederic Block, P.C.
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.)*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. LYCOMING COLLEGE

10/3/13-10/4/13

WILLIAMSPORT, MA

NON-FJC EDUCATIONA
SEMINAR- GUEST
SPEAKER

SEMINAR

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. ALLIANCEBERNSTEIN GLOBAL	B	Dividend	K	T	Buy	01/11/13	K		
2. BLACKROCK NY MUNI INC.	B	Dividend	K	T					
3. BLACKROCK MUNIYIELD NY QLT	B	Dividend	K	T					
4. CALAMOS STRAT TOT RETURN FD	C	Dividend	K	T					
5. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	C	Dividend	L	T					
6. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	L	T					
7. FIA CARD SERVICES NA	A	Interest	J	T					
8. GLOBAL X SUPERDIVI ETF	C	Dividend	K	T	Buy	04/11/13	K		
9. GUGGENHEIM S&P 500 PURE	A	Dividend	K	T	Buy	05/15/13	K		
10. GUGGENHEIM SPIN-OFF ETF	A	Dividend	J	T	Buy	05/14/13	J		
11. INVESTCO SENIOR INC TRUST	C	Dividend	K	T					
12. ISHARES IBOXXS HIGH YIEL CORP BD FD	B	Dividend	K	T					
13. ISHARES SELECT DIV ETF	B	Dividend	K	T	Buy	05/20/13	K		
14. ISHARES US OIL & GAS EXPL & PRODUC.	A	Dividend	K	T	Buy	05/14/13	J		
15. ISHARES DOW JONES US FINL	A	Dividend	K	T	Buy	05/30/13	J		
16. ISHARES US CONSUMER SERVICES ETF	A	Dividend	K	T	Buy	05/23/13	K		
17. ISHARES US CONSUMER GOODS ETF	A	Dividend	K	T	Buy	05/14/13	K		

1. Income Gain Codes:	A –\$1,000 or less (See Columns B1 and D4)	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	J –\$15,000 or less (See Columns C1 and D3)	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000	M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	P4 –More than \$50,000,000
3. Value Method Codes	Q –Appraisal (See Column C2)	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

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18. ISHARES US INDUSTRIALS ET	A	Dividend	K	T	Buy	05/14/13	K		
19. NFJ DIV INT PREM STRAT AND PREM STRAT FD(aLLIANZGI)	C	Dividend	K	T					
20. NUVEEN NY INV QUAL MUNI	C	Dividend			Sold	04/11/13	K		
21. NUVEEN NY SEL QUAL MUNI	C	Dividend			Sold	05/23/13	L	A	
22. NUVEEN QUAL PREF INC 2	C	Dividend			Sold	03/21/13	K	C	
23. POWERSHARES S&P 500	A	Dividend			Sold	01/11/13	K		
24. POWERSHARES ETF TR DYNAMIC MEDIA PROTF	A	Dividend	J	T	Buy	05/14/13	J		
25. POWERSHARES EXCHANGE	A	Dividend	K	T	Buy	11/13/13	K		
26. POWERSHARES BUYBACK ACHVRS	A	Dividend	J	T	Buy	05/14/13	J		
27. SPDR S P DIVID ETF	A	Dividend			Sold	02/27/13	K	B	
28. WESTERN ASSET HIGH INC OPPT F	B	Dividend	K	T					
29. WISDOMTREE TRUST JAPAPN HEDGED EQ. FD.	A	Dividend	K	T	Buy	05/23/13	K		
30. IRA - F. BLOCK									
31. ALLIANCEBERNSTEIN GLOBAL HIGH	C	Dividend	K	T	Buy	01/11/13	K		
32. BLACKROCK EQUITY DIV FD C	A	Dividend			Sold	01/03/13	K	C	
33. BLACKROCK INTL GROWTH & INCOME TR	C	Dividend	K	T	Buy	07/15/13	K		
34. CALMOS STRAT TOT RET RETURN FD	C	Dividend	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	
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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35. DWA TECH LEADERS PORT PWERSHRS ETF	A	Dividend			Sold	01/03/13	K	A	
36. EATON VANCE TAX DIV INC DIV INC FD	B	Dividend	K	T	Buy	01/04/13	K		
37. EATON VANCE TX-AD GL DIV GL DIV INC FD	B	Dividend	K	T	Buy	01/04/13	K		
38. EATON VANCE ENH INC FD II	B	Dividend	K	T	Buy	07/24/13	K		
39. FIRST TRUST US IPO INDEX FD	A	Dividend	J	T	Buy	10/31/13	J		
40. FIRST TR NASDAQ 100 EQ	A	Dividend	J	T	Buy	08/02/13	J		
41. FIRST TR EXCHANGE TRADED FD DOW JONES IN	A	Dividend	K	T	Buy	04/30/13	K		
42. FIDELITY AVB INTERM BD. FD. CL C	A	Dividend			Sold	01/03/13	K	A	
43. FIRST EAGLE GLOBAL CL C	C	Dividend			Sold	09/06/13	K	C	
44. FRANKLIN RISING DIV. FD. CL. C	A	Dividend			Sold	09/06/13	K	C	
45. ISHARES DJ US CONS GOOD SEC INX FD	A	Dividend			Buy	02/27/13	K		
46. ISHARES DJ US CONS GOOD SEC INX FD	A	Dividend			Sold	05/10/13	K	B	
47. ISHARES DOW JONES INTN SELECT DIV INX FD	B	Dividend			Buy	01/02/13	K		
48. ISHARES DOW JONES INTN SELECT DIV INX FD	B	Dividend			Sold	08/09/13	K	A	
49. ISHARES NASDAQ BIOTECH ETF	B	Dividend	K	T	Buy	09/27/13	K		
50. ISHARES SELECT DIV ETF	B	Dividend	L	T	Buy	01/04/13	K		
51. ISHARES US HEATHCATE	A	Dividend	K	T	Buy	02/27/13	K		

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52. ISHARES S&P 100 INDEX FD	A	Dividend			Sold	03/04/13	K	C	
53. ISHARES HIGH DIV EQ FD	B	Dividend			Sold	01/03/13	L		
54. ISHARES US FIN SER ETF	A	Dividend			Buy	07/17/13	K		
55. ISHARES US FIN SER ETF	A	Dividend			Sold	07/17/13	K		
56. ISHARES US HEALTHCARE	A	Dividend			Buy	02/27/13	J		
57. ISHARES US HEALTHCARE	A	Dividend			Sold	11/07/13	J	A	
58. JP MORGAN INC BUILDER FD CL C	B	Dividend			Buy	01/14/13	K		
59. JP MORGAN INC BUILDER FD CL C	B	Dividend			Sold	06/27/13	K		
60. WELLS FARGO ADVANTAGE MULTI SECTOR INC. FD.	C	Dividend	K	T					
61. J HANCOCK PREF INC 2	A	Dividend			Sold	01/17/13	K	B	
62. FIA CARD SERVICES NA RASP	A	Interest	J	T					
63. LOOMIS SAYLES SR FLOAT RET & FIXD INC FD CL A	C	Dividend	L	T	Buy	06/27/13	K		
64. LOOMIS SAYLES VALUE FD CL A	A	Dividend	L	T	Buy	05/16/13	L		
65. LOOMIS SAYLES GR FD CL A	A	Dividend	L	T	Buy	05/16/13	L		
66. LOOMIS SAYLES STRAT INC FD CL C	C	Dividend	L	T					
67. LOOMIS SAYLES CORE PLUS BD FD CL A	A	Dividend			Sold	01/25/13	K	A	
68. LOOMIS SAYLES CORE PLUS BD FD CL A	A	Dividend			Sold	01/29/13	K		

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69. LORD ABBETT INFL FOCD FD CL C	A	Dividend			Buy	02/15/13	K		
70. LORD ABBETT INFL FOCD FD CL C	A	Dividend			Sold	07/02/13	K		
71. LORD ABBETT FLOATING RATE FD CL C	B	Dividend	K	T	Buy	07/11/13	K		
72. LORD ABBETT SHORT DUR. INC. FD. C	B	Dividend			Sold	06/26/13	L		
73. NATIXIS OAKMARK INTNL FD CL A	A	Dividend	K	T					
74. NATIXIS US MULTI CAP EQ FD CL A		None	L	T	Buy	07/25/13	L		
75. NATIXIS DIVERSIFIED INC PRTFOLIO A	B	Dividend			Sold	05/17/13	K	D	
76. ALLIANZGI NFJ DIVID INT &PR(NFJ DIV INT PREM STRAT AND PREMIUM STRAT)	C	Dividend	K	T					
77. NUVEEN BUILD AMER BD FD	C	Dividend			Sold	02/20/13	L	C	
78. NUVEEN QUAL PREF INC 2	B	Dividend			Sold	01/17/13	K	B	
79. PIMCO BUILD AMERICA BD EX TRDED FD	B	Dividend	K	T	Buy	02/14/13	K		
80. PIMCO INTL STOCKPLUS AR	B	Dividend			Buy	05/10/13	K		
81. PIMCO INTL STOCKPLUS AR	B	Dividend			Sold	09/06/13	K		
82. PIMCO STOCKPLUS TOTAL RETURN FD CL C	C	Dividend	L	T					
83. PIMCO INCOME FD CL C	C	Dividend			Sold	02/15/13	K	C	
84. POWERSHARES EXCH TRADED FD TR HIGH YIELD	B	Dividend	K	T	Buy	08/06/13	K		

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85. POWERSHARES QQQ TR UNITS SER 1	A	Dividend			Sold	03/04/13	K	B	
86. POWERSHARES S&P 500BUYWRITE PORTFOLIO	B	Dividend			Sold	01/16/13	K		
87. PRUDENTIAL JENNISON EQ INC FD CL C	B	Dividend			Sold	06/10/13	L	D	
88. PRUDENTIAL TOTAL RETURN BD FD CL C	B	Dividend			Sold	02/15/13	L	B	
89. RS TECHNOLOGY FD CL C		None			Sold	03/22/13	K	A	
90. SPDR BARCLAYS CONVBL SEC ETF	A	Dividend	K	T	Buy	09/10/13	K		
91. TEMPLETON GLOBAL BD FD CL C	B	Dividend			Sold	04/25/13	L	A	
92. WESTERN ASSET HIGH INC OPPT FD	C	Dividend	K	T					
93. WISDOMTREE TR JAPAN HDG FD	A	Dividend			Buy	01/11/13	J		
94. WISDOMTREE TR JAPAN HDG FD	A	Dividend			Sold	05/02/13	K	B	
95. BANK OF SMITHTOWN	A	Interest	J	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ **Frederic Block**

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