

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/03/2016
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 01/01/2015 to 12/31/2015
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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Name of Person Reporting

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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. 2015

SELF-EMPLOYED - OWNER OF CONSTRUCTION COMPANY

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.)*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. BLACKROCK NY MUNI INC.	C	Dividend	L	T					
2. BLACKROCK MUNIYIELD NY QLT	B	Dividend	K	T					
3. CALAMOS STRAT TOT RETURN FD	C	Dividend	K	T					
4. EATON VANCE TX-AD GL DIV GLOBAL DIV INC FD	C	Dividend	L	T					
5. EATON VANCE TAX DIV INC DIV INC FD	D	Dividend	L	T					
6. EATON VANCE ENH INC FD II	C	Dividend	K	T					
7. FIRST TR NYSE ARCA BIOTE	A	Dividend			Sold	08/31/15	K	D	
8. FIRST TR EXCHANE TRADED FD DOW JONES IN	A	Dividend	K	T	Sold (part)	08/31/15	K	A	
9. FIRST TR DORSEY WRT FOCUS 5 ETF SH	A	Dividend	K	T	Sold (part)	07/31/15	K	C	
10. ML BANK BANK DEPOSIT PRGM(FIA CARD SERVICES) NA ACCOUNT	A	Interest	K	T					
11. GLOBAL X SUPERDIVI ETF	C	Dividend	K	T					
12. GUGGENHEIM RUSSEL TO 50 EFT	A	Dividend	K	T	Buy	11/30/15	K		
13. GUGGENHEIM S&P 500 PURE		None			Sold	02/03/15	K	A	
14. GUGGENHEIM S&P 500 PURE GR ETF	A	Dividend			Sold	07/31/15	K	A	
15. INVESTCO SENIOR INC TRUST	C	Dividend	K	T					
16. ISHARES US CONSUMER GOODS ETF	A	Dividend	K	T	Buy	11/30/15	K		
17. ISHARES CORE S&P MID CAP ETF	A	Dividend			Sold	07/31/15	K	A	

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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ NONE (No reportable income, assets, or transactions.)

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18. ISHARES TRANSPORTATION AVE	A	Dividend			Sold	07/31/15	J		
19. ISHARES DOW JONES US FINL	A	Dividend			Sold	08/31/15	K	B	
20. ISHARES US INDUSTRIALS ET	A	Dividend	K	T	Sold (part)	08/31/15	J	B	
21. NUVEEN NY DIV ADV MUNI	C	Dividend	L	T	Buy	12/17/15	K		
22. POWERSHARES QQQ TRUST SE 1	A	Dividend	K	T	Buy	11/30/15	K		
23. POWERSHARES PREFERRED PORTFOLIO	A	Dividend	K	T	Buy	11/30/15	K		
24. NUVEEN NY PERF PLS MUNI New Name NUVEEN NY DIV ADV MUNI	A	Dividend	K	T					
25. POWERSHARES DWA ENERGY MOMENTUM PORTF	A	Dividend			Sold	08/31/15	J		
26. POWERSHARES EXCHANGE TRADED FD TR II S7P 500	A	Dividend	K	T					
27. POWERSHARES VARIABLE RAT PREF PORTFOLIO	B	Dividend	K	T	Buy	10/30/15	K		
28. SPDR S&P 500 ETF TR	A	Dividend			Sold	07/31/15	K	B	
29. ALLIANZGI NFJ DIV INT PREM STRAT AND PREM STRAT FD	C	Dividend	K	T					
30. IRA - F. BLOCK									
31. ALLIANCEBERNSTEIN GLOBAL HIGH	C	Dividend	K	T					
32. BLACKROCK INTL GROWTH & INCOME TR	C	Dividend	K	T					
33. CALMOS STRAT TOT RET RETURN FD	C	Dividend	K	T					
34. COHEN AND STEERS QUALITY INC REALTY FD INC	C	Dividend	K	T	Buy	05/20/15	K		

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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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. DWA TECH LEADERS PORT POWERSHARES ETF	A	Dividend	K	T	Buy	11/04/15	K		
36. DWA TECH LEADERS POR POWERSHARES ETF		None			Sold	03/27/15	K	B	
37. EATON VANCE TAX DIV INC DIV INC FD	C	Dividend	K	T					
38. EATON VANCE TX-AD GL DIV GL DIV INC FD	B	Dividend	K	T					
39. EATON VANCE ENH INC FD II	C	Dividend	K	T					
40. FIRST TR SR FL II SR FLOAT RATE INC FD 11	C	Dividend	K	T	Buy	05/20/15	K		
41. FIRST TR NASDQ 100 EQ	A	Dividend	K	T	Buy	10/21/15	K		
42. FIRST TR DORSEY WRT FOCUS 5 ETF SH	A	Dividend	K	T	Buy	01/08/15	K		
43. GABELLI DIV & INC TR INC TR	C	Dividend	K	T	Buy	05/20/15	L		
44. ISHARES US OIL & GAS EXPLORATION & PRODC	A	Dividend	K	T	Buy	05/20/15	K		
45. FIRST TR NASDQ 100 EQ	A	Dividend			Sold	08/31/15	K	B	
46. FIRST TR EXCHANGE TRADED FD VI SHS	A	Dividend			Sold	08/31/15	K		
47. GUGGENHEIM S&P 500 EQUAL WEIGHT ETF	A	Dividend			Sold	05/26/15	L	D	
48. GUGGENHEIM S&P 500 PURE GR ETF	A	Dividend			Sold	03/27/15	K	C	
49. ISHARES MSCI HONG KONG		None			Sold	03/27/15	J		
50. ISHARES CORE S&P MID CAP ETF	A	Dividend			Sold	05/26/15	K	B	
51. ISHARES TRANSP AVE		None			Sold	03/27/15	K	A	

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52. ISHARES US HEATHCARE	A	Dividend	K	T					
53. LOOMIS SAYLES GROWTH FD CL A	A	Dividend	L	T	Buy	11/17/15	L		
54. LOOMIS SAYLES VALUE FD CL A		None			Sold	01/07/15	L	A	
55. BANK OF AMERICA NA RASP ACCOUNT (FIA CARD SERVICES NA RASP)	A	Interest	K	T					
56. LOOMIS SAYLES GR FD CL A		None			Sold	04/09/15	K	C	
57. LOOMIS SAYLES STRAT INC FD CL C	A	Dividend	K	T	Sold (part)	06/24/15	K	C	
58. LORD ABBETT FLOATING RATE FD CL C	B	Dividend	K	T					
59. LORD ABBETT BOND DEBENTURE FD CL C	B	Dividend	K	T	Buy	06/19/15	K		
60. MORGAN STANLEY EMERGING MARK	C	Dividend	K	T	Buy	05/20/15	K		
61. NATIXIS US EQUITY OPPT (MULTI CAP EQ) FD CL A		None			Sold	03/18/15	L		
62. NATIXIS OAKMARK FD CL A		None			Sold	01/13/15	L		
63. POWERSHARES DWA CONSUMER STAPLES MOMTUM PRFTL	A	Dividend	K	T	Buy	10/21/15	K		
64. POWERSHARES DWA COMSUMER CYCLICALS MOMNTM PRFTL	A	Dividend	K	T	Buy	10/21/15	K		
65. POWERSHARES QQQ TR UNITS SER 1	A	Dividend	K	T					
66. POWERSHARES EXCHANGE TRADED FD TR 1	A	Dividend	K	T	Buy	10/21/15	K		
67. POWERSHARES S&P INTL DEV LOW VOL PORT	B	Dividend	K	T					

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68. SPDR S P EMERG ASIA PAC		None			Sold	03/27/15	K	A	
69. ALLIANZGI NFJ DIVID INT &PR(NFJ DIV INT PREM STRAT AND PREMIUM STRAT)	C	Dividend	K	T					
70. WESTERN ASSET HIGH INC OPPT FD	C	Dividend	K	T					
71. WISDOM TREE EUROPE HEDGED EQ FD		None			Sold	04/15/15	K	D	
72. BANK OF AMERICA NA RASP ACCOUNT	A	Interest	K	T					
73. BANK OF SMITHTOWN ACCOUNT	A	Interest	J	T					
74. BANK OF AMERICA NA RASP ACCOUNT(1)	A	Interest	J	T					
75. ALIBABA GP HOLDING LT (1)		None			Sold	03/03/15	J		
76. APPLE INC. (1)	A	Dividend	J	T					
77. BEST BUY CO INC. (1)	A	Dividend			Sold	06/30/15	J		
78. ENERPLUS COR. SHS (1)		None			Sold	01/20/15	J		
79. FACEBOOK INC CLASS A COMM(1)		None	J	T	Buy	08/03/15	J		
80. FORTINET INC(1)		None	J	T	Buy	03/13/15	J		
81. ISHARES US OIL & GAS EXPL & PRODC(1)	A	Dividend	J	T	Buy	04/17/15	J		
82. JP MORGAN CHASE & CO.(1)	A	Dividend	J	T					
83. NXP SEMICONDUCTORS N.V.(1)		None	J	T	Buy	06/30/15	J		

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84. SKYWORKS SOLUTIONS INC(1)	A	Dividend	J	T	Buy	03/13/15	J		
85. SPOR INDEX SHS FDS(1)	A	Dividend	J	T	Buy	04/17/15	J		
86. SPOR SP EMERG ASIA PAC(1)	A	Dividend	J	T	Buy	04/17/15	J		
87. UNDER ARMOUR INC.(1)		None			Sold	04/17/15	J	B	
88. DWA TECH LEADERS PORT POWERSHARES ETF (1)	A	Dividend	J	T	Sold (part)	04/17/15	J	A	
89. FIRST TR DORSEY WRT FOCUS 5 ETF SH (1)	A	Dividend	J	T	Sold (part)	04/07/15	J	A	
90. GUGGENHEIM S&P 500 EQUALWEIGHT ETF (1)	A	Dividend			Sold	08/03/15	K	A	
91. FIRST TRUST EXCHANGE TRADED (1)	A	Dividend	J	T					

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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