

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting (last name, first, middle initial)</b> Batts, Deborah A.	<b>2. Court or Organization</b> Southern District of New York	<b>3. Date of Report</b> 05/29/2012
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> District Judge (Active)	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b> 01/01/2011 to 12/31/2011
<b>7. Chambers or Office Address</b> 500 Pearl Street Room 2510 New York, New York 10007-1312		
<b>IMPORTANT NOTES:</b> <i>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>		

**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. Adjunct Professor	Fordham University School of Law
2. Board of Visitors	CUNY School of Law
3. Board of Managers	Havens Relief Fund Society
4. Co-Executor	Estate #1
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. 10/1/84	TIAA-CREF Retirement & Supplemental Annuity Contracts
2.	
3.	

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 6

Name of Person Reporting

Batts, Deborah A.

Date of Report

05/29/2012

**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. 12/11	Fordham University School of Law Salary	\$26,000.00
2. 4/11	Co-Executor Fee	\$9,996.48
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.	Federal Judges Association (FJA)	April, 2011	Washington, D.C.	Board of Directors meeting	transportaion, food, lodging
2.	Harvard Law School	February, 2011	Cambridge, Massachusetts	Panelist	transportation, food, lodging
3.					
4.					
5.					

**FINANCIAL DISCLOSURE REPORT**  
Page 3 of 6

Name of Person Reporting Batts, Deborah A.	Date of Report 05/29/2012
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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. Chase	credit card	J
2. Bank of America	credit card	K
3.		
4.		
5.		

**FINANCIAL DISCLOSURE REPORT**  
Page 4 of 6

Name of Person Reporting <b>Batts, Deborah A.</b>	Date of Report <b>05/29/2012</b>
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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.	TIAA-CREF		D Int./Div.	N	T					
2.	Morgan Stanley Smith Barney (IRA)		A Int./Div.			Distributed	02/01/11	K		
3.	Estate #1		None	J	T	Distributed	04/21/11	M		
4.										
5.										
6.										
7.										
8.										
9.										
10.										
11.										
12.										
13.										
14.										
15.										
16.										
17.										

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 I11=\$1,000,001 - \$5,000,000 I12=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

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 6

Name of Person Reporting

Batts, Deborah A.

Date of Report

05/29/2012

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

Part III-A Since last year was the first time I had served as a co-executor of a family estate, I was not aware until preparing my 2011 Financial Disclosure Report that a Co-Executor Fee was subject to the 15% income limitation Of \$26,955.00. As a result of my authorized teaching compensation, I earned \$26,000.00 in 2011 for teaching, leaving \$955.00 as the balance for my income limitation. I received \$9,996.48 as my Co-Excutor Fee in 2011, which can be allocated over the years when I did estate work, which includes 2012. (Compendium Secion 33.1(a-1). I thus can allocate \$2,499.12 to the work on the estate I performed in 2012, reducing the amount over the limit to \$6,542.36 (\$9996.48- \$955.00- \$2499.12). Further, I am entitled to deduct "amounts received as reimbursement for expenses incurred in producing income (compendium Section 33.2(b)), and thus I reduce the amount over the limit further by \$644.00 in teaching transportation expenses for 2011. Thus the overage from my Co-Executor Fee is \$5,398.36 I am offsetting this remaining overage by returning this portion of my Executor Fee to the estate for distribution.

Part III-B I got married in 2011 and my spouse is a woman. . Since the federal government does not recognize my marriage, I checked " NONE".

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 6

Name of Person Reporting Batts, Deborah A.	Date of Report 05/29/2012
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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/ Deborah A. Batts**

**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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