AO 10 Rev. 1/2010

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)	2. Court or Organization	3. Date of Report
BAER, JR., HAROLD	US DISTRICT	05/07/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	**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 ROOM 2230 US COURTHOUSE 500 PEARL STREET NEW YORK, NY 10007	**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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

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II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		NEW YORK MANAGEMENT WELFARE FUND
2.		
3.		

Name of Person Reporting	Date of Report
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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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		MICHI & CO., INC. - BOOK ROYALTIES	$1,062.00
2.		PENSION - NY STATE EMPLOYEES' RETIREMENT SYSTEM	$21,950.00
3.		NEW YORK STATE BAR ASSOCIATION - BOOK ROYALTIES	$357.00
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.)*

	DATE	SOURCE 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	FJC EDUCATIONAL SEMINAR	03/11/2009-3/13/2009	RALEIGH, NC	LODGING & TRANSPORTATION	
2.	NON-FJC EDUCATIONAL SEMINAR	06/10/2009-6/12/2009	NEW ORLEANS, la	LODGING & TRANSPORTATION	
3.	NON-FJC EDUCATIONAL SEMINAR	06/15/2009-06/16/2009	BOSTON, MA	LODGING & TRANSPORATION	
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	WELLS FARGO - ADVISORS (H)	SECURITIES MARGIN ACCOUNT	J
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
BAER, JR., HAROLD	05/07/2010

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. ROCHESTER FD (W)	D	Dividend	M	T					
2. EXXON MOBILE CORP (W)	A	Dividend	K	T					
3. HOME DEPOT INC, (W)	A	Dividend	K	T					
4. PROCTOR & GAMBLE CO. (W)	B	Dividend	K	T					
5. DWS SCUDDER GLOBAL FUND	A	Dividend	J	T					
6. INTEL CORP	A	Dividend	J	T					
7. FIRST ENERGY CORP	B	Dividend	K	T					
8. PFIZER, INC	B	Dividend	K	T					
9. CYPRESS SEMICONDUCTOR CORP		None	K	T					
10. OPPENHEIMER CAPITAL APPRE. FD IRA (W)		None	K	T					
11. 3.67% INTEREST BUILDING BROOKLYN, NY	B	Rent	J	W					
12. PLAINS ALL AMERICAN PIPELINE LP	B	Dividend	K	T					
13. MEDCO HEALTH SOLUTIONS (W)	A	Dividend	J	T					
14. GENERAL ELECTRIC (W)	A	Dividend	J	T	Sold (part)	10/09/09	J	A	
15. ICICI BANK LTD	A	Dividend	J	T					
16. IDEARC INC			J	T					
17. I SHARES MSCI	A	Dividend	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
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	

Name of Person Reporting	Date of Report
BAER, JR., HAROLD	05/07/2010

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. CAPITAL WORLD GROWTH INCOME FUND	A	Dividend	K	T	Sold	09/09/09	K	A	
19. I SHARES TR S&P GLOBAL FIN'LS	A	Dividend	J	T					
20. SUNPOWER CORP		None	J	T					
21. OPPENHEIMER AMT-FREE NY MUNICIPAL FUND	B	Dividend	K	T					
22. OPPENHEIMER NEW YORK MUNICIPAL FUND	C	Dividend	L	T					
23. FIRST EAGLE SOGAN GLOBAL FD	A	Dividend	K	T	Buy	09/09/09	K		
24. INTERACTIVE BROKERS CORP			J	T					
25.									
26.									

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	

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__ [redacted] ________

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