| AO 10 Rev. 1/2011 | **FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010** | *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)**<br>BAER JR., HAROLD | **2. Court or Organization**<br>UNITED STATES DISTRICT COURT | **3. Date of Report**<br>5/10/2011 |
| **4. Title (Article III judges indicate active or senior status;** magistrate judges indicate full- or part-time)<br>SENIOR JUDGE | **5a. Report Type (check appropriate type)**<br>☐ Nomination, Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | **6. Reporting Period**<br>1/1/2010<br>to<br>12/31/2010 |
| **7. Chambers or Office Address**<br>500 PEARL STREET U.S. COURTHOUSE<br>ROOM 2230<br>NEW YORK, NEW YORK 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.**<br>**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. | | |

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

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| BAER JR., HAROLD | 5/10/2011 |

## 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. 2010 | MATTHEW BENDER & CO. BOOK ROYALTIES | $1,271.00 |
| 2. 2010 | PENSION - NY STATE EMPLOYEES RETIREMENT SYSTEM | $22,142.00 |
| 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.)*

| DATE | SOURCE AND TYPE |
|---|---|
| 1. | |
| 2. 2010 | TEACHERS INSURANCE & ANNUITY ASSOCIATION |
| 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. | | | | |
| 2. | | | | |
| 3. Brookings Institute | 6/14/2010 - 6/16/2010 | Montpelier, VT | Lodging and Transportation | 1,015 |
| 4. American Conference Institute | 6/24/2010 - 6/25/2010 | Boston, MA | Lodging and Transporation | 412 |
| 5. | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| BAER JR., HAROLD | 5/10/2011 |

## 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. | | | |

# FINANCIAL DISCLOSURE REPORT


| Name of Person Reporting | Date of Report |
|---|---|
| BAER JR., HAROLD | 5/10/2011 |

## 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[redacted] | D | Dividend | M | T | | | | | |
| 2. | EXXON MOBILE CORP.[redacted] | A | Dividend | K | T | | | | | |
| 3. | HOME DEPOT INC.[redacted] | A | Dividend | K | T | | | | | |
| 4. | PROCTOR & GAMBLE CO.[redacted] | B | Dividend | K | T | Sold (part) | 12/06/10 | J | D | |
| 5. | DWS GLOBAL THEMATIC FUNDS | 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 SEMI CONDUCTOR CORP. | | None | J | T | Sold (part) | 09/10/10 | J | D | |
| 10. | OPPENHEIMER CAPITAL APPROVED FD IRA[redacted] | C | Distribution | K | T | | | | | |
| 11. | 3.67% INTEREST BUILDING BROOKLYN, NEW YORK | B | Rent | J | W | | | | | |
| 12. | PLAINS ALL AMERICAN PIPELINE LP | A | Dividend | K | T | | | | | |
| 13. | MEDCO HEALTH SOLUTIONS[redacted] | | None | J | T | | | | | |
| 14. | GENERAL ELECTRIC[redacted] | A | Dividend | J | T | | | | | |
| 15. | ICICI BANK LTD. | A | Dividend | K | T | | | | | |
| 16. | IDEARC INC. | | None | | | Sold | 02/24/10 | J | A | |
| 17. | I SHARES MSCI | A | Dividend | | | Sold | 12/06/10 | J | A | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| BAER JR., HAROLD | 5/10/2011 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 18. I SHARES TR S&P GLOBAL FIN'LS | A | Dividend | J | T | | | | | |
| 19. SUNPOWER CORP. | | None | | | Sold | 12/06/10 | J | A | |
| 20. OPPENHEIMER AMT. FREE NY MUNICIPAL FUND | C | Dividend | K | T | | | | | |
| 21. OPPENHEIMER NEW YORK MUNICIPAL FUND | C | Dividend | L | T | | | | | |
| 22. FIRST EAGLE SOGAN GLOBAL FD | A | Dividend | K | T | | | | | |
| 23. INTERACTIVE BROKERS CORP. | | None | J | T | | | | | |
| 24. DELTA AIRLINES INC. | | None | | | Buy | 09/10/10 | J | | |
| 25. DELTA AIRLINES INC. | | None | | | Sold | 12/17/10 | J | A | |
| 26. HEWLETT-PACKARD CO. | A | Dividend | J | T | Buy | 09/10/10 | J | | |
| 27. FORD MOTOR COMPANY | | None | J | T | Buy | 12/17/10 | J | | |
| 28. VF ADVANTAGE NY MUNICIPAL MM [redacted] | A | Dividend | J | T | Buy | 12/01/10 | J | | |
| 29. CARDINAL HEALTH INC.[redacted] | A | Dividend | J | T | Buy | 09/10/10 | J | | |
| 30. | | | | | | | | | |
| 31. | | | | | | | | | |
| 32. | | | | | | | | | |
| 33. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less<br>F =$50,001 - $100,000 | B =$1,001 - $2,500<br>G =$100,001 - $1,000,000 | C =$2,501 - $5,000<br>H1 =$1,000,001 - $5,000,000 | D =$5,001 - $15,000<br>H2 =More than $5,000,000 | E =$15,001 - $50,000 |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less<br>N =$250,001 - $500,000<br>P3 =$25,000,001 - $50,000,000 | K =$15,001 - $50,000<br>O =$500,001 - $1,000,000 | L =$50,001 - $100,000<br>P1 =$1,000,001 - $5,000,000<br>P4 =More than $50,000,000 | M =$100,001 - $250,000<br>P2 =$5,000,001 - $25,000,000 | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal<br>U =Book Value | R =Cost (Real Estate Only)<br>V =Other | S =Assessment<br>W =Estimated | T =Cash Market | |

| Name of Person Reporting | Date of Report |
|---|---|
| BAER JR., HAROLD | 5/10/2011 |

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

Line 5 - Old Name: DWS Scudder Global Fund

Line 9 - CypressSemi Conductor Corp. was gifted.

| Name of Person Reporting | Date of Report |
|---|---|
| BAER JR., HAROLD | 5/10/2011 |

## 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/ HAROLD BAER JR.**

**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)**

Committee on Financial Disclosure
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