AO 10
Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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
Cote, Denise L.	U.S.D.C., S.D.N.Y.	06/18/2012

4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
U.S. District Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	1/1/2011 to 12/31/2011

7. Chambers or Office Address

U.S. District Court, Room 1610
500 Pearl Street
New York, NY 10007

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. Insert signature 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.	Advisor to Restatement of Law III, Economic Torts and Related Wrongs	ALI
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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Cote, Denise L.	06/18/2012

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.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	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.	Institute for Law and Economic Policy	4/7/11-4/9/11	Manalapan, FL	Seminar	Meals, lodging, transportation
2.	Louise Motl Estate	4/17/11-4/24/11	Costa Rica	Vacation	Contribution to lodging.
3.	Yale Law School	4/27/11	New Haven, CT	Invited Guest	Transportation
4.	Federal Judiciary	6/8/11-6/10/11	Bolton Landing, NY	Circuit Judicial Conference	Meals, lodging, transportation
5.	Aspen Institute	7/31/11-8/6/11	Aspen, CO	Seminar	Meals, lodging, transportation
6.	American Law Institute	10/28/11-10/30/11	Durham, NC	Seminar	Meals, lodging, transportation

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7. University of Cincinnati College of Law	11/9/11-11/13/11	Cincinnati, OH	Seminar	Meals, transportation

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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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

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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 (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)
1. Schwab Account with JB Global									See lines 2 through 29
2. Clipper Fund	B	Dividend	L	T					
3. Columbia Energy & Natural Resources Fund f/k/a Excelsior		None			Sold	1/27/11	J		
4. Japan Fund	A	Dividend	K	T					
5. Matthews Japan Fund	A	Dividend	J	T					
6. Matthews Pacific Tiger Fund		None			Sold	1/31/11	J		
7. Seligman Communications & Information Fund	A	Dividend	J	T					
8. Third Avenue Value Fund	A	Dividend	J	T					
9. Torray Fund		None			Sold (part)	03/3/11	K		
10.					Sold	03/21/11	K		
11. Vanguard Equity Income Fund	B	Dividend	K	T					
12. Vanguard Healthcare Fund	B	Dividend	K	T					
13. Davis Series Inc Financial	D	Dividend	L	T					
14 Loomis Sayles Bond Fund	F	Dividend	M	T					
15. Schwab Advisor Cash Reserves	A	Dividend	K	T					
16. Consumer Staples SPDR ETF	B	Dividend	L	T					
17. Wells Fargo Ultra S/T Income Fund	A	Dividend	L	T					

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		

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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 (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. T Rowe Price New Era Fund		None			Sold	1/26/11	K		
19. Homebuilders ETF	A	Dividend	J	T					
20. Europe 100 Top ADR ETF	A	Dividend	J	T					
21. Japan ETF	A	Dividend			Buy	3/15/11	K		
22.					Sold	11/30/11	K		
23. Schwab Large Cap Value ETF	B	Dividend	L	T	Buy	3/16/11	K		
24.					Buy (add'l)	8/3/11	K		
25.					Buy (add'l)	8/5/11	K		
26.					Buy (add'l)	8/8/11	K		
27.					Buy (add'l)	8/9/11	J		
28.					Buy (add'l)	8/11/11	J		
29. Wisdom Tree Japan ETF	A	Dividend	J	T	Buy	11/30/11	K		
30. Columbia University Pension (TIAA CREF) (Y)									
31. Chase Accounts		None	J	T					
32. MERRILL LYNCH ACCOUNT									See lines 33 through 40
33. Muni Investment Trust SA	A	Distribution	J	T					
34. Merrill Lynch Bank Deposit	A	Interest	J	T					

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35. CD Compass Bank		None			Redeemed	6/13/11	K		
36. CD Goldman Sachs Bank		None			Redeemed	2/4/11	K		
37. CD First Bank Puerto Rico	A	Interest	K	T	Buy	3/11/11	K		
38. CD GE Capital Financial		None	K	T	Buy	6/28/11	K		
39.					Buy (add'l)	7/1/11	K		
40.					Sold (part)	8/22/11	J		

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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/ Denise L. Cote

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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Washington, D.C. 20544