

**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><br><br>OWEN, RICHARD  | <b>2. Court or Organization</b><br><br>US DISTRICT COURT S. DIST NY   | <b>3. Date of Report</b><br><br>06/28/2012                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>SENIOR DIST JUDGE   | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>US DISTRICT COURT<br>500 PEARL ST<br>NY, NEW YORK<br>10007  |   |  |
| <p align="center"><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></p> |   |  |

**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. | _____           | _____                              |
| 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

OWEN, RICHARD

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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br><small>(yours, not spouse's)</small> |
|-------------|------------------------|---|
| 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.)*

| <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.            |              |                 |                |                               |
| 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.)*

|    | <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. |                 |                    |                   |
| 2. |                 |                    |                   |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

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|  |                              |
|--|------------------------------|
| Name of Person Reporting<br><b>OWEN, RICHARD</b> | Date of Report<br>06/28/2012 |
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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |  |
|---|---|--|---|------------------------------------|--|------------------|--------------------------|-------------------------|--|
|   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)  | (2)              | (3)                      | (4)                     | (5)  |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. ALCATEL LUCENT   |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 2. AT&T   | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 3. BLACKROCK INTERNATIONAL  | A                                       | Dividend                               | K   | T                                  |  |                  |                          |                         |  |
| 4. DOW CHEMICAL   | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 5. FIFTH THIRD BANCORP  | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 6. CON ED   | A                                       | Dividend                               | K   | T                                  |  |                  |                          |                         |  |
| 7. HEINZ  | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 8. HERSHEY  | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 9. HANESBRAND   |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 10. HOME DEPOT  | A                                       | Dividend                               | K   | T                                  |  |                  |                          |                         |  |
| 11. INTEL   | A                                       | Dividend                               | K   | T                                  |  |                  |                          |                         |  |
| 12. INTERPUBLIC   |   | None                                   | K   | T                                  |  |                  |                          |                         |  |
| 13. JOHNSON & JOHNSON   | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 14. KIMBERLY CLARK  | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 15. LAZARD  | B                                       | Dividend                               | K   | T                                  |  |                  |                          |                         |  |
| 16. LSI CORP  |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 17. MARSH & MCCLENNAN   | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |

|   |   |  |   |  |                         |
|---|---|--|---|--|-------------------------|
| 1. Income Gain Codes<br>(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<br>(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<br>(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  |                         |

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|  |                              |
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| Name of Person Reporting<br><b>OWEN, RICHARD</b> | Date of Report<br>06/28/2012 |
|--|------------------------------|

**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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |  |
|-----|---|---|--|---|------------------------------------|--|------------------|--------------------------|-------------------------|--|
|     |   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)  | (2)              | (3)                      | (4)                     | (5)  |
|     |   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. | MOTOROLA SOLUTIONS (FORMERLY MOTOROLA)  |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 19. | MOTORS LIQUIDATION  |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 20. | NEW WORLD BRANDS  |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 21. | PROCTER AND GAMBLE  | C                                       | Dividend                               | M   | T                                  |  |                  |                          |                         |  |
| 22. | NY TIMES  |   | None                                   | J   | T                                  |  |                  |                          |                         |  |
| 23. | NUVEEN TRADEWINDS   | B                                       | Dividend                               | L   | T                                  |  |                  |                          |                         |  |
| 24. | SARA LEE  | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 25. | SOUTHERN CORP   | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 26. | US BANCORP  | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 27. | M&T (Formerly Wilmington)   | A                                       | Dividend                               | J   | T                                  |  |                  |                          |                         |  |
| 28. | NYC GO MUNI 5% 2024   | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 29. | NYC GO MUNI 5.25% 2027  | A                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 30. | NY STATE GO 4% 2020   | A                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 31. | MOTOROLA MOBILITY   |   | None                                   | J   | T                                  | Spinoff<br>(from line 18)                  | 01/07/11         | J                        |                         |  |
| 32. | CORNING NYC 4% 2011   | A                                       | Int./Div.                              |   |                                    | Matured                                    | 11/15/11         | K                        |                         |  |
| 33. | HILTON CSO NY 3.75% 2013  | A                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 34. | LI POWER 5.5% 2012  | B                                       | Int./Div.                              | L   | T                                  |  |                  |                          |                         |  |

|   |  |  |  |  |                        |
|---|--|--|--|--|------------------------|
| 1. Income Gain Codes<br>(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<br>(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<br>(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   |                        |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |  |
|---|---|--|---|------------------------------------|--|------------------|--------------------------|-------------------------|--|
|   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)  | (2)              | (3)                      | (4)                     | (5)  |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. NYC 5.25% 2012  | B                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 36. NY LOCALGOVT 5% 4/18  | B                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 37. NYC TRANS 5% 2013   | B                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 38. NY DORM 5.25% 2020  | B                                       | Int./Div.                              | L   | T                                  |  |                  |                          |                         |  |
| 39. NY THWY 3.75% 2012  | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 40. OYSTER BAY 3.75 2014  | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 41. RYE BROOK 3.375 2014  | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 42. SOUTH HUNTINGTON 3.6 2011   | A                                       | Int./Div.                              |   |                                    | Matured                                    | 05/16/11         | J                        |                         |  |
| 43. SUFFOLK 3.6 2014  | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 44. TOBACCO SETTLMT 5.5 2019  | B                                       | Int./Div.                              | L   | T                                  |  |                  |                          |                         |  |
| 45. TOB SETTLMT 5 2012  | A                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 46. W. BABYLON 4 2014   | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 47. WHITE PL 4.25 2018  | A                                       | Int./Div.                              | K   | T                                  |  |                  |                          |                         |  |
| 48. NYC 5 2013  | A                                       | Int./Div.                              | J   | T                                  |  |                  |                          |                         |  |
| 49.   |   |  |   |                                    |  |                  |                          |                         |  |
| 50.   |   |  |   |                                    |  |                  |                          |                         |  |
| 51.   |   |  |   |                                    |  |                  |                          |                         |  |

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 H1=\$1,000,001 - \$5,000,000 H2=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

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| Name of Person Reporting<br><b>OWEN, RICHARD</b> | Date of Report<br>06/28/2012 |
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|---|---|--|---|------------------------------------|--|------------------|--------------------------|-------------------------|--|
|   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)  | (2)              | (3)                      | (4)                     | (5)  |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div , rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.   |   |  |   |                                    |  |                  |                          |                         |  |
| 53.   |   |  |   |                                    |  |                  |                          |                         |  |
| 54.   |   |  |   |                                    |  |                  |                          |                         |  |
| 55.   |   |  |   |                                    |  |                  |                          |                         |  |
| 56.   |   |  |   |                                    |  |                  |                          |                         |  |
| 57.   |   |  |   |                                    |  |                  |                          |                         |  |

- |  |  |  |  |  |                        |
|--|--|--|--|--|------------------------|
| 1. Income Gain Codes:<br>(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<br>(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 |                        |
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| Name of Person Reporting<br><b>OWEN, RICHARD</b> | Date of Report<br>06/28/2012 |
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

The asset NY NY 4.75% 8/25 was called away and is no longer in portfolio.



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Name of Person Reporting

OWEN, RICHARD

Date of Report

06/28/2012

**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/ **RICHARD OWEN**

**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