

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012**

*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) Hellerstein, Alvin K.	2. Court or Organization U.S. District Court - NY-South	3. Date of Report 07/03/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States District Court 500 Pearl Street - Room 1050 New York, New York 10007		
IMPORTANT NOTES: <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.</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. Trustee	synagogue
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. 1/1/96	Stroock & Stroock & Lavan LLP, former law firm (Pension Plan for retired partners)(No Control)
2. 1/1/89	Stroock & Stroock & Lavan Retirement Plan (management of firm's IRA and 401K plans)(No Control)
3. 1/1/84	Stroock & Stroock & Lavan Investment Partnership (No Control)

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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> <i>(yours, not spouse's)</i>
1. 2012	Pension from former law firm	\$465,094.00
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. Institute for Law & Economic Policy - 2012 Conference	4/25-4/27/2012	Puerto Rico	Panel Speaker for Seminar	Travel, Food and Lodging
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.	Chase Mortgage Corp.	Mortgage, condominium	K
2.			
3.			
4.			
5.			

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. New York City Condominium	F	Rent	Pl	W					
2. J P Morgan/Chase	A	Interest	K	T					
3. Franklin Templeton Mut. Qual. Fund (IRA)	D	Dividend	M	T	Redeemed (part)	11/25/12	J		
4. Dreyfus Money Market Funds	A	Interest	K	T					
5. Stroock & Stroock & Lavan Retirement Plan (See fn. 1)			Pl	T					
6. - Delaware Investments									
7. - Thornburg Inv. Mgmt.									
8. - Atlanta Capital Management									
9. - C.S. McKee, L.P.									
10. - Westfield Capital Mgmt.									
11. - TimeSquare Cap. Mgmt.									
12. - Tocqueville Asset Mgmt.									
13. - Cramer Rosenthal McGlynn									
14. S&S&L Investment Partnerships	A	Dividend	J	W					
15. - Warburg Pincus Funds		None	J	W					
16. - Loeb Partners Investments		Dividend	J	W					
17. State of Israel Bonds	A	Interest	J	T					

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
 3. Value Method Codes P3=\$25,000,001 - \$50,000,000 R=Cost (Real Estate Only) S=Assessment T=Cash Market
 (See Column C2) U=Book Value V=Other W=Estimated

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Gilead Sciences Inc.		None	M	T	Donated (part)	12/20/12	K		
19. Regeneron Pharmaceutical		None	L	T					
20. Citibank Bank Dep.	A	Interest	J	T					
21. Northwestern Mutual (Life Ins.) (See Footnote 2)									
22. 1 Shares TR MSCI EAFE Index Fund (see Footnote 3)	A	Dividend	K	T	Sold (part)	4/24/12	K	D	
23. 1 Shares TR MSCI EAFE Index Fund					Buy	10/24/12	K		
24. 1 Shares Russell 1000 Value Fd.	A	Dividend	L	T					
25. 1 Shares Russell Midcap Value Index Fd.	A	Dividend	K	T					
26. 1 Shares Russell 1000 Growth Fd.	A	Dividend	L	T					
27. 1 Shares Russell 2000 Value Fd.	A	Dividend	K	T					
28. 1 Shares Russell 2000 Growth Fd.	A	Dividend	K	T					
29. 1 Shares Russell Midcap Growth Index Fd.	A	Dividend	K	T					
30. SPDR Ser Tr S&P Metals & Mng ETF	A	Dividend			Sold	10/24/12	K	A	(loss)
31. Vanguard Emerging Markets ETF	B	Dividend	M	T	Buy	4/24/12	K		
32. Vanguard REIT ETC	A	Dividend	K	T	Buy	5/4/12	J		

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	

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

Footnote 1 -- Results of investments, inclusive of realized and unrealized gains and losses and dividends and distributions, are reported to me quarterly and for year end. A separate figure for dividends was not reported to me. No gain or loss is reported, since the investment qualifies as an IRA/401-K. As in previous years, I was subject to mandatory withdrawal of IRA/401-K funds, and withdrew funds of the value of "M".

Effective January 1, 2012, the trustees terminated management by Alliance Bernstein Equity. My funds were transferred to be managed by C.S. Mekee. Similarly, Brandes Inv. Part.'s management was terminated, and my funds were transferred for management by Tocqueville Asset Management.

As of the third quarter 2012, the trustees terminated management by Macquarie Allegiance Corp. My funds were transferred for management by Delaware Investments.

An effect of those transfers was to reduce the number of manager investing funds attributed to me, from nine to eight.

Footnote 2 -- Cash value and dividends are applied to premiums, resulting in paid-up life insurance, payable on the second to die between my wife and me. Hence, the policy does not pay dividends, and has no gross value.

Footnote 3 -- The end of the year information is net after the sale reported on Line 22 and buy on Line 23.

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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/ Alvin K. Hellerstein

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
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