AO 10
Rev. 1/2013

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)	2. Court or Organization	3. Date of Report
BAER, HAROLD	UNITED STATES DISTRICT COURT	5/15/2013
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**
SENIOR JUDGE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012

7. Chambers or Office Address

500 PEARL STREET U.S. COURTHOUSE
ROOM 2230
NEW YORK, NEW YORK 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.***

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, HAROLD	5/15/2013

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. 2012	Matthew Bender & Co. - Book Royalties	$948.00
2. 2012	American Bar Association - Book Royalties	$1,272.00
3. 2012	NY State Bar Association - Book Royalties	$1,393.00
4. 2012	Pension - NY State Retirement System	$22,622.00

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. 2012	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.	Federal Judicial Center	May 21 - May 25, 2012	Berkeley, CA	seminar	lodging and transportation
2.	Federal Judicial Center	September 10 - September 13, 2012	Portland, OR	seminar	lodging and transportation
3.	Federal Judicial Center	September 30 October 3, 2012	Memphis, TN	seminar	lodging and transportation
4.					
5.					

Name of Person Reporting	Date of Report
BAER, HAROLD	5/15/2013

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	SECURITIES MARGIN ACCOUNT	J
2.	CitiMortgage Inc.	Part VII Line 22 Rental Property, Sayville, N.Y. Appraisal Date February 23, 2009	M
3.			
4.			
5.			

Name of Person Reporting	Date of Report
BAER, HAROLD	5/15/2013

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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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. ALERIAN MLP	A	Dividend	J	T					
2. CYPRESS SEMI CONDUCTER CORP.	A	Dividend	J	T					
3. FIRST ENERGY CORP.	A	Dividend	K	T					
4. FORD MOTOR CO.	A	Dividend	J	T					
5. ICICI BANK LTD. SPON ADR	A	Dividend	J	T					
6. INTEL CORP.	A	Dividend	J	T					
7. .PFIZER INC.	B	Dividend	L	T					
8. PLAINS AMERICAN PIPELINE	A	Int./Div.	K	T	Sold (part)	05/18/12	K	D	
9. FIRST EAGLE SOGEN GLOBAL FD	A	Dividend	K	T					
10. OPPENHEIMER AMT FREE NY MUNI FD	C	Interest	K	T					
11. OPPENHEIMER NY MON. FD	C	Interest	L	T	Sold (part)	12/26/12	J	B	
12. CARDINAL HEALTH INC.	A	Dividend			Sold	08/08/12	J	B	
13. EXXON MOBIL CORP.	B	Dividend	K	T					
14. GENERAL ELECTRIC	A	Dividend	J	T					
15. HOME DEPO INC.	A	Dividend	K	T	Sold (part)	10/26/12	J		
16. EXPRESS SCRIPTS HLDGS F/K/A MEDCO HEALTH SOLUTIONS	A	Dividend	J	T					
17. PROCTOR & GAMBLE CO.	B	Dividend	K	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		

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. ROCHESTER FD MUNI INC.	D	Interest	M	T	Sold (part)	12/26/12	K		
19. INVESTORS BANK CORP. INC..	A	Dividend	J	T	Buy	08/20/12	J		
20. SUPERVALU INC.	A	Dividend	J	T	Buy	06/04/12	J		
21. CYPRESS SEMICONDUCTOR CORP.	A	Dividend	J	T	Buy	08/20/12	J		
22. RENTAL PROPERTY SAYVILLE, NY appraisal date - 2/23/2009 (X)	E	Rent	P1	Q					
23. 3.70% Interest Building Brooklyn, N.Y.	B	Rent	J	W					
24. Oppenheimer Capital Appreciation FD IRA (W)	C	Distribution	J	T					
25. HYSTER-YALE MATERIAL HANDLING INC.	A	Dividend	J	T	Buy	12/01/12	J		
26.									
27.									
28.									
29.									
30.									
31.									
32.									
33.									
34.									

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.)*

Line 16 - Medco HelathS olutions merged with Express Scripts Hldgs on 4/2/12. Medco changed name to Express Scripts Hldgs. Gain was recognized on cash received.

Line 22 - Rental property appraisal date is February 23, 2009.

Name of Person Reporting	Date 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/ HAROLD BAER

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