

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting</b> (last name, first, middle initial)  Cote, Denise L.	<b>2. Court or Organization</b>  U.S.D.C., S.D.N.Y.	<b>3. Date of Report</b>  05/04/2011
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)  U.S. District Judge, Active	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination, <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  1/1/2010 to 12/31/2010
<b>7. Chambers or Office Address</b>  U.S. District Court, Room 1040 500 Pearl Street New York, NY 10007	<b>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.</b>  Reviewing Officer _____ Date _____	
<b>IMPORTANT NOTES:</b> 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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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> (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.)*

<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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.		
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) 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. Schwab Account with JB Global									See lines 2 through 22
2. Clipper Fund	A	Dividend	L	T					
3. Columbia Energy & Natural Resources Fund f/k/a Excelsior	A	Dividend	J	T					
4. Japan Fund	A	Dividend	K	T					
5. Matthews Japan Fund	A	Dividend	J	T					
6. Matthews Pacific Tiger Fund	A	Dividend	J	T					
7. Seligman Communications & Information Fund		None	J	T					
8. Third Avenue Value Fund	A	Dividend	J	T					
9. Torray Fund	A	Dividend	K	T	Buy (add'l)	02/04/10	J		
10.					Sold (part)	08/30/10	J		
11. Vanguard Equity Income Fund	B	Dividend	K	T					
12. Vanguard Healthcare Fund	A	Dividend	K	T	Buy (add'l)	02/04/10	J		
13. Davis Series Inc Financial	A	Dividend	L	T	Buy (add'l)	08/31/10	J		
14. Loomis Sayles Bond Fund	F	Dividend	M	T	Buy (add'l)	01/25/10	K		
15. Market Vectors Gold ETF		None			Sold	10/12/10	K		
16. Schwab Advisor Cash Reserves	A	Dividend	K	T					
17. Consumer Staples SPDR ETF	B	Dividend	L	T					

### 1. Income Gain Codes:

(See Columns B1 and D4)

### 2. Value Codes

(See Columns C1 and D3)

### 3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

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

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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18. Wells Fargo Ultra S/T Income Fund	A	Dividend	L	T					
19. T Rowe Price New Era Fund	A	Dividend	K	T					
20. Homebuilders ETF	A	Dividend	K	T	Buy	11/10/10	K		
21. Europe 100 Top ADR ETF	A	Dividend	J	T	Buy	05/14/10	J		
22.					Buy (add'l)	05/20/10	J		
23. Columbia University Pension (TIAA CREF) (Y)									
24. Chase Accounts		None	J	T					
25. MERRILL LYNCH ACCOUNT									See lines 26 through 33
26. Muni Investment Trust SA		None	J	T					
27. Merrill Lynch Bank Deposit	A	Interest	J	T					
28. CD Provident Bank n/k/a M&T Bank	A	Interest			Sold (part)	05/24/10	J	A	
29.					Sold (part)	07/12/10	J	A	
30.					Redeemed	08/02/10	J	A	
31. CD Compass Bank	A	Interest	K	T					
32. CD Goldman Sachs Bank	A	Interest	K	T					
33. CD First Bank Puerto Rico		None	J	T	Buy	12/07/10	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 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  
Administrative Office of the United States Courts  
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Washington, D.C. 20544