

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 07/09/2014
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) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States District Court 500 Pearl Street - Room 1050 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	synagogue
2.	Advisory Board Member	Rand Corporation
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Pension from former law firm	\$454,864.00
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.)*

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. ACI-2nd Annual Forum on Admiralty & Maritime Claims and Litigation	2/27/2013 - 2/28/2013	Houston, TX	Panel Speaker	Travel, Food and Lodging
2. Rand Corporation	7/19/2013	Washington, DC	Board Meeting	Travel, Food and Lodging
3. Am. Antitrust Inst./Stanford University - Antitrust Seminar	8/22/2013 - 8/24/2013	Menlo Park, CA	CLE	Travel, Food and Lodging
4. Loyola University Chicago Law School - Annual Institute for Investor Protection Conf.	10/24/2013 - 10/26/2013	Chicago, IL	Speaker	Travel, Food and Lodging
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) 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. New York City Condominium	F	Rent	P1	W					
2. J P Morgan/Chase	A	Interest	M	T					
3. Franklin Templeton Mut. Qual. Fund (IRA)		None	M	T	Redeemed (part)	07/17/13	J	D	
4. Dreyfus Money Market Funds		None	K	T	Redeemed (part)	05/30/13	J	A	
5. Stroock & Stroock & Lavan Retirement Plan (See footnote 1)			P1	T	Redeemed (part)	08/22/13	M	G	
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 (See footnote 2)	A								
15. State of Israel Bonds		None	J	T					
16. Gilead Sciences Inc.		None	M	T	Donated (part)	12/16/13	L		
17. Regeneron Pharmaceutical			M	T					

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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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☐ 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 I (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)

18. Morgan Stanley Bank (See footnote 3)	A	Interest	J	T					
19. Northwestern Mutual (Life Ins.) (See Footnote 4)									
20. 1 Shares TR MSCI EAFE Index Fund	B	Dividend	L	T	Buy	07/10/13	K		
21. 1 Shares Russell 1000 Value Fd.	B	Dividend	M	T					
22. 1 Shares Russell Midcap Value Index Fd.	A	Dividend	K	T					
23. 1 Shares Russell 1000 Growth Fd.	B	Dividend	M	T					
24. 1 Shares Russell 2000 Value Fd.	A	Dividend	K	T					
25. 1 Shares Russell 2000 Growth Fd.	A	Dividend	L	T					
26. 1 Shares Russell Midcap Growth Index Fd.	A	Dividend	K	T					
27. Vanguard Emerging Markets ETF	C	Dividend	L	T					
28. Vanguard REIT ETC (See footnote 5)	B	Dividend	K	T	Distributed		J		

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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".

Footnote 2 -- Stroock & Stroock & Lavan ("S&S&L") Investment Partnership's attributable to me in Warburg Pincus Funds was reduced to zero by a reconciling, non-income, distribution of "A". It will no longer be reported separately. The attributable investment in Loeb Partners, the only other investment attributable to me of the S&S&L Investment Partnership, had income of "A" and an ending value of "J". Hence, in future years, the reportable entity will be Loeb Investors Co.

Footnote 3 -- Funds formerly deposited with Citibank were transferred on July 6, 2013 to Morgan Stanley Bank. Morgan Stanley Bank and Citibank are affiliated subsidiaries of Morgan Stanley Smith Barney LLC.

Footnote 4 -- Cash value and dividends are applied to premiums, resulting in paid-up life insurance, payable on the second to die between [REDACTED] and me. Hence, the policy does not pay dividends, and has no gross value.

Footnote 5 -- Distributions were made to me throughout the year, on 3/28, 6/28, 9/27 and 12/31. The aggregate was "J".

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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
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