

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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)<br><br>Berman, Richard M.                                                                                                    | <b>2. Court or Organization</b><br><br>U.S. District court - S.D.N.Y.                                                                                                                                                                                                                               | <b>3. Date of Report</b><br><br>10/27/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge, Senior Status                             | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> 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>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>U.S. District Court<br>500 Pearl Street<br>New York, NY 10007                                                                                  |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><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.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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. |  |

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Name of Person Reporting

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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.)*DATESOURCE AND TYPEINCOME  
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

|    |                              |                      |                  |                        |                                |
|----|------------------------------|----------------------|------------------|------------------------|--------------------------------|
| 1. | Yuksel Karkin Kucuk Law Firm | 05/05/14 to 05/11/14 | Istanbul, Turkey | Rule of law conference | Transportation, room and board |
|----|------------------------------|----------------------|------------------|------------------------|--------------------------------|

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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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)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Apple Inc                                                                                                                | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Liberty Media Corp Liberty Cap Cl A                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. LM CBA Equity Income Builder Fund CL A                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Morgan Stanley Money Market Fund                                                                                         | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. US Treasury Inflation Index NTS CPI Non Seasonally                                                                       | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. SPDR S&P 500 ETF Trust                                                                                                   |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Liberty Media Corp Liberty Cap com Ser A                                                                                 |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8.                                                                                                                          |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/09/14                | J                               |                                |                                                                   |
| 9.                                                                                                                          |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/14/14                | J                               |                                |                                                                   |
| 10. Liberty Media Corp Liberty Cap Com Ser A                                                                                |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/07/14                | K                               |                                |                                                                   |
| 12. SPDR Gold Trust                                                                                                         |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Vanguard 500 Index Trust                                                                                                | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Vanguard Total Intl Index                                                                                               | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Vanguard Total Stock Index                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Fairholme Fund (X)                                                                                                      | D                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Ishares Russell 2000 Index Fund                                                                                         | B                                       | Dividend                                      | K                                               | 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 \$5,000,000 | 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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| 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      |                         |                                 |                                |                                                                   |
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| 18.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/13/14                | J                               |                                |                                                                   |
| 19. UTS SPDR Trust Ser 1                                                                                                    | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. UTS SPDR Trust Ser 1                                                                                                    | B                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/14/14                | J                               |                                |                                                                   |
| 21. Omaha Neb Omaha Convention Center                                                                                       | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/26/14                | K                               | B                              |                                                                   |
| 22. TSASC Inc NY TOB Settlement Asset                                                                                       | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. New York St Urban Dev Corp Rev Personal<br>Income Tax                                                                   | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. Metropolitan Trans Auth NY Dedicated Tax<br>FD A Revs FGIC                                                              | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. Metropolitan Trans Auth NY Dedicated Tax<br>FD A Revs FGIC                                                              | B                                       | Interest                                      |                                                 |                                           | Sold<br>(part)                                  | 10/01/14                | K                               | A                              |                                                                   |
| 26. TIAA Cref                                                                                                               | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. T-C Infl Lukd Bond Rtmt                                                                                                 | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. T-C Lifecycle 2020 Rtmt                                                                                                 |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. T-C Lifecycle Rtmt Inc Rtmt                                                                                             | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. Property Indian River County, FL (X)                                                                                    | D                                       | Rent                                          | L                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. Georgia St B B/E UT DD                                                                                                  | B                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/26/14                | L                               | A                              |                                                                   |
| 32. Scottsdale Ariz Mun PPTY Corp Excise Tax<br>Rev Pref B/E                                                                | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. China Mobile LTD Spn ADR                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 34. SPDR Gold Trust                                                                                                         |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 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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|                                                         |   |          |   |   |      |          |   |   |  |
|---------------------------------------------------------|---|----------|---|---|------|----------|---|---|--|
| 35. Ishares TR Dow Jones US                             | A | Dividend | J | T |      |          |   |   |  |
| 36. Union Pacific corp                                  | A | Dividend | J | T |      |          |   |   |  |
| 37. Rydex ETF TR Index Fund                             | A | Dividend | J | T |      |          |   |   |  |
| 38. New Jersey St Genl Obligation                       | B | Interest | K | T |      |          |   |   |  |
| 39. New York State Dorm Auth Pers Inc Tax Rev 2/15/2022 | B | Interest | L | T |      |          |   |   |  |
| 40. NYS Dorm Auth Pers Inc Tax Rev 3/15/2021            | A | Interest |   |   | Sold | 09/10/14 | L | B |  |
| 41. NYS Dorm Auth Pers Inc Tax Rev 3/15/2021            | A | Interest |   |   | Sold | 10/28/14 | L | A |  |
| 42. NYC GO Subseries A-1 10/1/2021                      | A | Interest |   |   | Sold | 10/23/14 | L | A |  |
| 43. Spartan Total Market Index                          | A | Interest | K | T |      |          |   |   |  |
| 44. Spartan Small Cap Index                             | A | Interest | K | T |      |          |   |   |  |
| 45. Costco Wholesale Crp                                | A | Dividend | K | T |      |          |   |   |  |
| 46. Goldman Sachs Group Inc                             | A | Dividend | K | T |      |          |   |   |  |
| 47. Vanguard S and P Mid Cap 400                        | A | Dividend | J | T |      |          |   |   |  |
| 48. Liberty Media Corporation.com                       | A | Dividend | J | T |      |          |   |   |  |
| 49. NYC GO Ser E 8/01/2019                              | B | Interest | L | T |      |          |   |   |  |
| 50. Netflix                                             | A | Dividend | J | T |      |          |   |   |  |
| 51. Liberty Media Corp Ser A                            |   | None     | K | T |      |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. NYC GO Ser F 11/15/2018                                                                                                 | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Marlboro NY Central                                                                                                     | C                                       | Interest                                      |                                                 |                                           | Sold                                            | 10/23/14                | L                               | B                              |                                                                   |
| 54. NYS Dorm Auth Ser A 7/1/2021                                                                                            | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 09/10/14                | L                               | B                              |                                                                   |
| 55. NYC GO Ser D 8/1/2024                                                                                                   | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/26/14                | M                               | C                              |                                                                   |
| 56. NYC Trans Fin Auth Future Tax Rev F                                                                                     | B                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/26/14                | L                               | B                              |                                                                   |
| 57. Triborough Bridge and Tunnel Auth Ref A                                                                                 | B                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/26/14                | M                               | D                              |                                                                   |
| 58. NYC GO Ser B 8/1/2022                                                                                                   | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 8/26/14                 | M                               | C                              |                                                                   |
| 59. United States Treasury Bill                                                                                             | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Triborough Bridge and Tunnel Auth Ref B                                                                                 | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 04/30/14                | M                               | B                              |                                                                   |
| 61. NYC Transit Fin Auth Future Ser C                                                                                       | B                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/27/14                | M                               | B                              |                                                                   |
| 62. NYC GO Ser D 8/1/2029                                                                                                   | B                                       | Interest                                      |                                                 |                                           | Sold                                            | 04/30/14                | M                               | C                              |                                                                   |
| 63. NYC GO Ser F 03/01/2025                                                                                                 | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 04/30/14                | M                               | C                              |                                                                   |
| 64. NYC GO Ser I 8/1/2019                                                                                                   | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 10/28/14                | L                               | A                              |                                                                   |
| 65. NYC GO Ser E 8/1/2018                                                                                                   | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. NYS Dorm Auth Mem Sloan Kettering<br>7/1/2022                                                                           | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 09/10/14                | M                               | B                              |                                                                   |
| 67. NYC GO Ser C-1                                                                                                          | B                                       | Interest                                      |                                                 |                                           | Sold                                            | 10/23/14                | M                               | A                              |                                                                   |
| 68. Liberty Spingo Inc C1 A                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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☐ 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)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Invisa Inc                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. Stratasy LTD                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. Guggenheim S&P 500 Equal Weight                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. Vanguard S&P 500 ETF                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. North Tonawanda NYC 9/15/2019                                                                                           | A                                       | Interest                                      |                                                 |                                           | Buy                                             | 09/10/14                | N                               |                                |                                                                   |
| 74.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/07/14                | N                               | A                              |                                                                   |
| 75. Lockport City NY 3/1/2018                                                                                               | A                                       | Interest                                      |                                                 |                                           | Buy                                             | 08/27/14                | M                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/17/14                | M                               | A                              |                                                                   |
| 77. NYC GO Ser G 8/1/2018                                                                                                   | A                                       | Interest                                      |                                                 |                                           | Buy                                             | 08/27/14                | M                               |                                |                                                                   |
| 78.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/17/14                | M                               | A                              |                                                                   |
| 79. NYC Trans Fin Auth Future Tax Sub E 11/1/2019                                                                           | C                                       | Interest                                      |                                                 |                                           | Buy                                             | 08/27/14                | M                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/07/14                | M                               | A                              |                                                                   |
| 81. Yorkshire Pioneer NY Cent 7/15/2019                                                                                     | B                                       | Interest                                      |                                                 |                                           | Buy                                             | 08/27/14                | N                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/07/14                | N                               | A                              |                                                                   |
| 83. Chicago ILL Brd Ser A 12/1/2018                                                                                         | B                                       | Interest                                      |                                                 |                                           | Buy                                             | 04/30/14                | L                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 12/30/14                | L                               | A                              |                                                                   |
| 85. Illinois St 3/1/2018                                                                                                    | A                                       | Interest                                      |                                                 |                                           | Buy                                             | 04/30/14                | K                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 \$5,000,000 | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Berman, Richard M.

Date of Report

10/27/2015

## 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)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                     |   |          |   |   |             |          |   |   |  |
|-----------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 86.                                                 |   |          |   |   | Sold        | 12/30/14 | K | A |  |
| 87. NYS Dorm Auth Pers Income Tax A 3/15/2020       | A | Interest |   |   | Buy         | 04/30/14 | M |   |  |
| 88.                                                 |   |          |   |   | Sold        | 12/30/14 | M | A |  |
| 89. NYS Envir Facs Corp A 6/15/2020                 | D | Interest |   |   | Buy         | 10/23/14 | N |   |  |
| 90.                                                 |   |          |   |   | Sold        | 11/21/14 | N | A |  |
| 91. Metropolitan Trans Auth NY Tax FD 11/15/2020    | A | Interest | L | T | Buy         | 12/30/14 | L |   |  |
| 92. NYC GO Ser I 4/1/2019                           | B | Interest | M | T | Buy         | 12/30/14 | M |   |  |
| 93. NYC GO Ser B 8/15/2018                          | B | Interest | M | T | Buy         | 11/21/14 | M |   |  |
| 94. NYC Trans Fin Auth Future Tax Ser D 11/1/2019   | A | Interest | K | T | Buy         | 04/30/14 | K |   |  |
| 95. Freeport NY GO Ser A 5/1/2019                   | A | Interest | L | T | Buy         | 04/30/14 | L |   |  |
| 96. Western Asset Short Duration Muni Inc C         | A | Dividend | N | T | Buy         | 08/27/14 | M |   |  |
| 97.                                                 |   |          |   |   | Buy (add'l) | 11/18/14 | L |   |  |
| 98. Rochester NY 8/15/2018                          | B | Interest | N | T | Buy         | 11/07/14 | M |   |  |
| 99.                                                 |   |          |   |   | Buy (add'l) | 11/18/14 | M |   |  |
| 100. Metropolitan Trans Auth NY Tax FD A 11/15/2021 | C | Interest | M | T | Buy         | 11/07/14 | M |   |  |
| 101. Metropolitan Trans Auth NY Rev D 11/15/2018    | D | Interest | N | T | Buy         | 11/07/14 | N |   |  |
| 102.                                                |   |          |   |   | Buy (add'l) | 11/07/14 | M |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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| 103. NYC GO Ser G 12/15/2019                                                                                                | B                                       | Interest                                      | M                                               | T                                         | Buy                                             | 10/28/14                | M                               |                                |                                                                   |
| 104. North Towanda NYC 9/15/2020                                                                                            | B                                       | Interest                                      | M                                               | T                                         | Buy                                             | 11/21/14                | M                               |                                |                                                                   |
| 105. NYS Dormitory Auth Sales Tax A<br>3/15/2020                                                                            | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 04/30/14                | K                               |                                |                                                                   |
| 106.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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# FINANCIAL DISCLOSURE REPORT

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

Part VII - In the prior (2013) report Fidelity GNMA Fund was listed on lines 34 and 35 as only being partially sold when in fact the shares were entirely sold.

# FINANCIAL DISCLOSURE 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/ **Richard M. Berman**

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