

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Sweet, Robert W.	2. Court or Organization U.S. District Court	3. Date of Report 06/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge (Senior status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. District Court 500 Pearl St - Room 1940 New York, NY 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.	

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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. _____

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.			
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. AT&T	A	Dividend	K	T					
2. Amazon		None	L	T	Sold (part)	05/11/16	K	E	
3. Apple	A	Dividend	K	T					
4. BP LLC	A	Dividend	J	T					
5. Comcast	A	Dividend	J	T					
6. Disney	B	Dividend	L	T					
7. GE	A	Dividend	K	T					
8. IBM	B	Dividend	K	T					
9. Marathon Pete	A	Dividend	K	T					
10. Pfizer	A	Dividend	K	T					
11. Proctor & Gamble	B	Dividend	L	T					
12. Target	A	Dividend	K	T					
13. 3M Co.	B	Dividend	L	T					
14. Hull Tactical US ETF		None	K	T	Buy	05/10/16	K		
15. Federated Capital Reserves (a)	A	Dividend	J	T					
16.									
17. Amazon.com Inc		None	O	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 H ~\$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 ~\$250,000,001 - \$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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18. RBC Prime Money Market (a)	A	Dividend	L	T					
19. USTB Due 4/28/16	A	Interest			Buy	01/27/16	M		
20. USTB due 4/28/16					Sold	02/04/16	M		
21. USTB due 7/28/16	A	Interest			Buy	01/27/16	M		
22. USTB due 7/28/16					Matured	07/28/16	M		
23. USTB due 10/13/16	A	Interest			Buy	01/27/16	M		
24. USTB due 10/13/16					Matured	10/13/16	M		
25. USTB due 1/5/17		None	L	T	Buy	01/27/16	M		
26. USTB due 4/27/17		None			Buy	05/16/16	M		
27. USTB due 4/27/17					Sold	05/16/16	M		
28. Estes - Sheridan LP	A	Distribution	J	U					
29. NP Stratham LLC	E	Distribution	J	U					
30. NP Dover LP		None	L	U					
31. NP Nashua LLC	C	Distribution	L	U					
32. NP Hanson LLC	D	Distribution	J	U					
33. NP Portfolio Account LLC	G	Distribution	M	U					
34. NPS2 LLC	D	Distribution	J	U					

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	
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35. Execwest LLC		None	N	U					
36. Execusouth LLC	E	Distribution	J	U					
37.									
38. Trust #1 (lines 38-85) (b)									
39. 3M	B	Dividend	L	T					
40. Agilent Technologies	A	Dividend	K	T					
41. Alteria Group	B	Dividend	K	T					
42. Amer Intl Group	B	Dividend	L	T					
43. Amgen	A	Dividend	K	T					
44. Analog Devices Inc.		None	K	T					
45. Apple Inc	B	Dividend	L	T					
46. Applied Material	A	Dividend	K	T					
47. BP LLC	B	Dividend	K	T					
48. Centene		None	K	T					
49. Cisco Systems	A	Dividend	K	T					
50. Comcast	A	Dividend	L	T					
51. D R Horton	A	Dividend	J	T	Buy	07/22/16	J		

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52. Disney	A	Dividend	L	T					
53. Exxon Mobil Corp	B	Dividend	L	T					
54. Gilead Sciences	A	Dividend	K	T	Buy (add'l)	03/02/16	J		
55. Gilead Sciences					Buy (add'l)	04/21/16	J		
56. Humana	A	Dividend	K	T					
57. ITT	A	Dividend	J	T					
58. International Paper Co	A	Dividend	J	T					
59. Keysight		None	J	T					
60. Laboratory Co		None	K	T					
61. Lam Research Corp	A	Dividend	K	T	Buy	04/21/16	K		
62. Lear Corp	A	Dividend	K	T					
63. Lennar Corp	A	Dividend	J	T					
64. Lowe's	B	Dividend	L	T					
65. Merck	A	Dividend	K	T					
66. Microsoft	B	Dividend	M	T					
67. Oracle	A	Dividend	K	T	Sold (part)	04/21/16	K	C	
68. Packaging Corp	A	Dividend	K	T					

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69. Pfizer	B	Dividend	K	T					
70. Phillip Morris	B	Dividend	K	T					
71. Public Service	A	Dividend	K	T					
72. Scana	A	Dividend	J	T	Buy	01/27/16	J		
73. Suncor	A	Dividend	K	T					
74. Suntrust	B	Dividend	L	T					
75. The Priceline Group		None	K	T					
76. Travelers Co	B	Dividend	L	T					
77. United Contl Holdings		None	J	T					
78. United Technologies	B	Dividend	K	T					
79. Unitedhealth Group	B	Dividend	L	T					
80. Universal Health	A	Dividend			Sold (part)	03/02/16	J	B	
81. Universal Health					Sold	04/21/16	K	C	
82. Viacom	A	Dividend			Sold	02/24/16	J		
83. WSTN Digital	A	Dividend			Sold	07/12/16	J		
84. Xylem	A	Dividend	J	T					
85. CMA Money Fund (a)	A	Dividend	K	T					

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86.									
87. Trust #2 (lines 87 -110) (b)									
88. USTB due 4/21/16	A	Interest			Buy	01/27/16	N		
89. USTB due 4/21/16					Matured	04/21/16	N		
90. USTB due 7/28/16	A	Interest			Buy	01/27/16	N		
91. USTB due 7/28/16					Matured	07/28/16	N		
92. USTB due 10/13/16	A	Interest			Buy	01/27/16	N		
93. USTB due 10/13/16					Matured	10/13/16	N		
94. USTB due 1/5/17	A	Interest	N	T	Buy	01/27/16	N		
95. USTB due 4/28/16	A	Interest			Buy	01/26/16	N		
96. USTB due 4/28/16					Matured	04/28/16	N		
97. USTB due 7/28/16	A	Interest			Buy	01/26/16	N		
98. USTB due 7/28/16					Matured	07/28/16	N		
99. USTB due 10/13/16	A	Interest			Buy	01/26/16	N		
100. USTB due 10/13/16					Matured	10/13/16	N		
101. USTB due 01/05/17	A	Interest	N	T	Buy	01/27/16	N		
102. USTB due 4/27/17	A	Interest	N	T	Buy	04/28/16	N		

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103. USTB due 04/27/17	A	Interest	N	T	Buy	05/16/16	N		
104. USTB due 7/20/17	A	Interest	N	T	Buy	08/11/16	N		
105. Apple Inc	D	Dividend	N	T					
106. Microsoft	C	Dividend	L	T					
107. North Colorado Springs Land & Improvemnet Co.		None	J	T					
108. Silvercrest Global Fund (formerly MW Global) Partners)		None	P1	U					
109. Third Point Partners		None	P1	T					
110. 13D Activist-Fd-I		None	O	T	Sold (part)	08/11/16	M		
111.									
112. Trust #3 (lines 112- 133) (b)									
113. Berkshire Hathaway		None	M	T					
114. Gotham Absolute Return		None	O	T					
115. Gotham Neutral Fund	C	Dividend	P1	T					
116. USTB due 4/21/16	A	Interest			Buy	01/27/16	M		
117. USTB due 4/21/16					Matured	04/21/16	M		
118. USTB due 7/28/16	A	Interest			Buy	01/27/16	M		
119. USTB due 7/28/16					Matured	07/28/16	M		

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120. USTB due 10/13/16	A	Interest			Buy	01/27/16	M		
121. USTB due 10/13/16					Matured	10/13/16	M		
122. USTB due 1/15/17	A	Interest	M	T	Buy	01/27/16	M		
123. USTB due 4/27/17	A	Interest	M	T	Buy	05/16/16	M		
124. Estes - Sheridan LP	A	Distribution	J	U					
125. NP Strathan LLC	F	Distribution	J	U					
126. NP Dover LLC	F	Distribution	N	U					
127. NP Nashua LLC	E	Distribution	N	U					
128. NP Hanson LLC	E	Distribution	J	U					
129. NP Portfolio Account LLC	H1	Distribution	N	U					
130. NPS2 LLC	F	Distribution	J	U					
131. Execwest LLC		None	P1	U					
132. Execusouth NPP LLC (c)		None	J	U					
133. Trans-Lux Series A pfd		None	J	T					
134. Trans-Lux Corp		None	J	T					
135. Fiduciary Trust Int'l Money Mkt (d)									
136.									

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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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)
137. Citibank money market account	A	Interest	J	T					
138. Citibank checking account		None	J	T					
139. JPMorgan Chase checking account		None	J	T					
140.									
141.									
142.									

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.)*

VII. Investments and Trusts

(a) = This is a money market type fund with shares remaining at a constant value of \$1.00. Purchases and sales, with no gain or loss, were made throughout the year.

(b) = Income beneficiary only and does not participate in the management of the trust.

(c) = An interest in Execusouth NPP LLC was inadvertently not disclosed on prior reports. The reporting party's spouse is only an income beneficiary to the trust, does not participate in management, has no first-hand or direct knowledge of the trust's holdings and accordingly is reliant of information from third parties.

(d) = As reported on the 2015 Report, this is a money market type fund with shares remaining at a constant value of \$1.00. By the end of 2015, all shares were sold with no gain or loss and no shares were purchased in 2016.

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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/ Robert W. Sweet

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