

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) Briccetti, Vincent L.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 08/25/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Active)	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 United States Courthouse 300 Quarropas Street White Plains, NY 10601		
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.	Director	Fordham Law Alumni Association
2.	Trustee	Trust #2 (Liquidated and closed May 2016)
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.)*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. 2016

Greenwich Anesthesiology Associates, P.C. - Salary

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.	Dovenmuehle Mortgage Inc.	Mortgage partially on rental property (Paid off October 2016)	None
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. Rental property #1, South Salem, NY (1993, \$62,458)	D	Rent	L	R					
2. Chase Bank, various accounts	A	Interest	L	T					
3. Fidelity Growth Company Fund	B	Dividend	K	T	Sold (part)	04/01/16	J	B	
4. Fidelity NY Muni MM Fund	A	Dividend			Closed	02/11/16	J		
5. Fidelity Treasury Fund	A	Dividend	K	T	Open	02/11/16	J		
6. iShares S&P National Municipal Bond	A	Dividend			Sold	12/21/16	J		
7. iShares MSCI Emerging Mkts Minimum Volatility Index	B	Dividend	J	T	Buy	01/13/16	J		
8. iShares Trust Core MSCI Total Intl Stk	A	Dividend	J	T	Buy	06/24/16	J		
9. NMIS General NY MM Fund Class B	A	Interest	J	T					
10. Nuveen New York Quality Municipal Income (Renamed)	B	Dividend			Sold	12/21/16	K		
11. Vanguard High Yield Tax Exempt Admiral	A	Dividend	K	T	Buy	12/21/16	K		
12. Vanguard NY LT Tax-Exempt Fund Investor	A	Dividend	J	T					
13. IRA #5 (Fidelity) (H)									
14. - Aberdeen Asia Pac Income	C	Dividend	K	T	Sold (part)	03/23/16	J		
15. - Doubleline Total Return Bond I		None			Sold	01/13/16	L		
16. - Fidelity Cash Reserves	A	Dividend	L	T					
17. - Fidelity Floating Rate High Income	C	Dividend	K	T	Sold (part)	11/16/16	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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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. - iShares MSCI EAFE Small Cap Index	B	Dividend	L	T					
19. - iShares S&P 500 Index	A	Dividend	L	T	Buy (add'l)	01/13/16	K		
20.					Sold (part)	03/26/16	J	A	
21.					Sold (part)	04/01/16	J	A	
22.					Sold (part)	04/08/16	J	A	
23.					Sold (part)	10/31/16	K	B	
24. - Nuveen Build America	D	Dividend	L	T					
25. - SPDR Barclays Capital Short Term High Yield Bond	B	Dividend			Sold	10/31/16	K		
26. - Bank of America Corp Bond	A	Interest	K	T					
27. - Goldman Sachs Group Inc Medium Term Note	B	Interest	K	T					
28. - iShares iBoxx \$ High Yield Corporate Bond	B	Dividend			Sold (part)	05/12/16	K		
29.					Sold (part)	06/02/16	K		
30.					Sold (part)	08/26/16	K		
31.					Sold	10/06/16	J	A	
32. - Nuveen Credit Strategies Income Fund	C	Dividend	K	T	Sold (part)	03/23/16	K		
33.					Sold (part)	10/31/16	K	A	
34. - PIMCO Income Instl	C	Dividend	L	T	Buy	04/01/16	L		

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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35. - Vanguard Emerging Markets	B	Dividend	L	T					
36. -Vanguard Short Term Corporate Bond	B	Dividend	L	T	Buy	05/12/16	L		
37. -Fidelity Short Term Bond	A	Dividend	K	T	Buy	08/26/16	K		
38.					Buy (add'l)	11/16/16	K		
39. -Payden Global Low Duration	A	Dividend	K	T	Buy	08/26/16	K		
40.					Buy (add'l)	11/16/16	K		
41. -Powershares Build America Bond	A	Dividend	K	T	Buy	10/31/16	K		
42. IRA #6 (Fidelity) (H)									
43. - Fidelity Cash Reserves	A	Dividend	K	T					
44. - Nuveen Build Amer Bd Fd	A	Dividend			Sold	02/04/16	L	B	
45. - Payden High Income	B	Dividend	K	T					
46. - Angel Oak Multistrat Income Instl	B	Dividend	K	T					
47. -Fidelity Short Term Bond	A	Dividend	K	T	Buy	06/02/16	K		
48. -Vanguard GNMA Admiral	D	Dividend	K	T	Buy	06/02/16	L		
49. 401(K) #2 (H)									
50. -Vanguard 500 Index	C	Dividend	N	T	Buy (add'l)	01/20/16	J		
51.					Buy (add'l)	02/04/16	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold (part)	12/19/16	K		
53. - Vanguard Small Capitalization Stock	A	Dividend	K	T	Buy (add'l)	01/13/16	J		
54. - Vanguard Total Bond Market Index Inv	C	Dividend	M	T	Sold (part)	01/13/16	J		
55.					Sold (part)	01/20/16	J		
56.					Sold (part)	02/04/16	J		
57.					Buy (add'l)	12/19/16	K		
58.									
59. Northwestern Mutual Whole Life Policy	C	Dividend	L	T					
60. Northwestern Paid Up Life Insurance Policy #1	B	Dividend	L	T					
61. Northwestern Paid Up Life Insurance Policy #2	B	Dividend	M	T					
62. Trust #2 (H)									
63. - Edward Jones Tax Free MM	A	Dividend			Sold	04/12/16	K		
64.									

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

Part VII

Fidelity converted all assets in the Fidelity NY Muni MM Fund (line 4) to the Fidelity Treasury Fund (line 5) on 2/11/16

Nuveen New York Dividend Advantage Municipal Fund which appeared on line 12 of last years report was renamed on 12/28/16. It appears on line 10 of this years report as Nuveen New York Quality Municipal Income

Northwestern Variable Life Policy #1 and Northwestern Variable Life Policy #2 which appeared on lines 73-88 of last years report were converted to Northwestern Paid Up Life Insurance Policy #1 (line 59) and Northwestern Paid Up Life Insurance Policy #2 (line 60) in September 2015

Discretion over the investment options in the policies was lost when the policies were converted. (Updated note 8/17/17-- the Paid Up Life Insurance Policies are whole life policies without investment options)

The assets in Trust #2 were liquidated on 4/12/16 and the trust was closed in May 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/ Vincent L. Briccetti

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