

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) Sweet, Robert W.	2. Court or Organization U.S. District Court	3. Date of Report 08/15/2014
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 01/01/2013 to 12/31/2013
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Board of Directors	The Constitution Works
2.	Member, Board of Directors	World Figure Skating Museum
3.	Member, Board of Managers	Havens Society (resigned March 19, 2014)
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.

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. Pfizer	A	Dividend	J	T					
2. IBM	B	Dividend	L	T					
3. Walt Disney Company	A	Dividend	L	T					
4. AT&T Corp	A	Dividend	J	T					
5. Alcatel -Lucent		None	J	T					
6. 3M	B	Dividend	L	T					
7. Imation Corp		None	J	T					
8. Proctor & Gamble Co	B	Dividend	L	T					
9. General Electric Co.	A	Dividend	J	T					
10. LSI Corp	A	Dividend	J	T					
11. Comcast Corp	A	None	J	T					
12. Smucker J M Company	A	Dividend	J	T					
13. Amazon.com Inc.		None	L	T					
14. Federated Capital Reserves (a)	A	Dividend	J	T					
15.									
16. Wells Fargo Company	A	Dividend			Sold	04/17/13	L	F	
17. Amazon.com Inc		None	N	T					

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 (See Columns C1 and D3)	F = \$50,001 - \$100,000 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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18. Microsoft	B	Dividend	L	T	Sold	08/26/13	L	E	
19. USTN 1.375% TIP 7/15/18	C	Interest	N	T					
20. Fid. Trust Co Int'l Money Market Fund (a)	A	Dividend	J	T					
21. RBC Prime Money Market (a)	A	Dividend	L	T					
22. Knolls II Villa LP		None			Sold	12/31/13	N		
23. Estes - Sheridan LP		None	J	U					
24. NP Stratham LLC	E	Distribution	N	U					
25. NP Dover LP	G	Distribution	J	U					
26. NP Nashua LLC	E	Distribution	L	U					
27. NP Hanson LLC		None	J	U					
28. NP Portfolio Account LLC	F	Distribution	N	U					
29. NPS2 LLC	B	Distribution	J	U					
30. Execwest LLC		None	M	U					
31. Execusouth LLC	D	Distribution	J	U	Spinoff (from line 30)	06/14/13			
32.									
33. Trust #1 (lines 34- 98) (b)	E	Distribution	O	T					
34. 3M									

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35. Ace Limited									
36. Activision Blizzard Inc					Sold	08/23/13	K	C	
37. Agilent Technologies									
38. Allegion					Spinoff (from line 63)	12/5/13			
39. Allegion					Sold	12/13/13	J	B	
40. Altera Corp					Sold	01/25/13	J	A	
41. Amer Intl Group									
42. Amgen									
43. Analog Devices Inc.									
44. Apple Inc					Sold (part)	08/23/13	K	B	
45. Applied Material					Buy	05/29/13	J		
46. Biogen Idec					Buy	06/14/13	J		
47. Borg Warner					Buy	08/23/13	J		
48. Capital One Financial					Sold	05/03/13	K	D	
49. Cisco Systems					Buy	08/23/13	K		
50. Cisco Systems					Buy (add'l)	10/16/13	J		
51. Coca Cola									

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52. Comcast					Sold (part)	08/23/13	K	C	
53. Disney									
54. EMC					Buy (add'l)	02/26/13	J		
55. EMC					Buy (add'l)	08/23/13	J		
56. Exelis Inc.									
57. Xylem (formerly reported as Exlem)									
58. Exxon Mobil Corp					Sold (part)	02/26/13	J	D	
59. Exxon Mobil Corp					Sold (part)	06/14/13	J	D	
60. Halliburton					Buy	08/23/13	K		
61. ITT Industries									
62. IBM					Sold	08/23/13	K	D	
63. Ingersoll Rand									
64. International Paper Co					Buy (add'l)	01/25/13	J		
65. International Paper Co					Sold (part)	10/16/13	J	B	
66. Kla Tencor					Sold	05/29/13	J	A	
67. L Brands (name changed from Limited Brands)					Sold	05/03/13	K	D	
68. Lowes					Buy	05/03/13	K		

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69. Marathon Oil					Sold (part)	01/25/13	K	C	
70. Marathon Oil					Buy (add'l)	02/26/13	J		
71. McDonalds Corp					Sold (part)	02/26/13	J	D	
72. Medtronics					Buy	08/23/13	J		
73. Merck					Buy (add'l)	01/25/13	J		
74. Microsoft									
75. Netapp					Buy	08/23/13	J		
76. NRG Energy Inc					Sold	01/25/13	J		
77. Oracle					Buy (add'l)	02/26/13	J		
78. Packaging Corp					Buy	02/26/13	J		
79. Pfizer									
80. Phillip Morris									
81. Suncor					Buy	01/25/13	K		
82. Suncor					Buy (add'l)	02/26/13	J		
83. Suntrust					Buy	01/25/13	J		
84. Suntrust					Buy (add'l)	05/03/13	K		
85. TRW Auto					Buy	02/26/13	J		

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86. TRW Auto					Buy (add'l)	05/03/13	J		
87. Teradata Corp					Buy (add'l)	01/25/13	J		
88. Travelers Co									
89. United Contl Holdings					Buy	01/25/13	J		
90. United Contl Holdings					Buy (add'l)	02/01/13	J		
91. United Technologies					Sold (part)	06/14/13	J	D	
92. Unitedhealth Group					Sold (part)	02/26/13	K	E	
93. Verizon Comm					Sold (part)	04/30/13	J	B	
94. Verizon Comm					Sold (part)	05/06/13	K	C	
95. WSTN Digital					Sold	01/25/13	K	E	
96. Wal Mart									
97. CMA Money Fund (a)									
98.									
99. Trust #2 (lines 101 -116) (b)	G	Distribution	P1	T					
100. USTN 1.875% due 7/15/19									
101. Apple Inc									
102. Microsoft									

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103. North Colorado Springs Land & Improvement Co.									
104. Sandisk					Sold	02/15/13	M	E	
105. Seagate Tech									
106. Fiduciary Trust Int'l Money Market (a)									
107. Silvercrest Global Fund (formerly MW Global Partners)									
108. Pershing Sq LP					Redeemed (part)	01/08/13	N	G	
109. Pershing Sq LP					Redeemed (part)	04/12/13	N	G	
110. Pershing Sq LP					Redeemed (part)	07/08/13	N	G	
111. Pershings Sq LP					Redeemed (part)	07/11/13	K	D	
112. Pershing Sq LP					Redeemed (part)	10/10/13	N	G	
113. Norweign Gov'6 6.5% due 05/15/13					Matured	05/15/13	L		
114. SPDR Gold Trust					Buy (add'l)	01/28/13	M		
115. JPM Chase Bank-NOK London Time Deposit					Matured	01/28/13	M	A	
116.									
117. Trust #3 (lines 119 - 138) (b)		None	P1	T					
118. Fiduciary Trust Int'l Money Market (a)									
119. Berkshire Hathaway (c)					Sold (part)	01/04/13	K	E	

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120. Dell Inc.					Sold	04/12/13	L		
121. Dolby Labs					Sold	03/25/13	M	D	
122. Forest Labs (c)					Sold	01/04/13	M	D	
123. GT Advanced Technology					Sold	08/26/13	K		
124. Intel Corp.					Sold	08/26/13	M	D	
125. iShares Comex Gold									
126. Marvell Technology Group					Sold	03/25/13	M		
127. SPDR Gold Trust									
128. Gotham Absolute Return					Buy	03/27/13	O		
129. Gotham Absolute Return					Buy (add'l)	12/12/13	K		
130. Estes - Sheridan LP									
131. NP Strathan LLC									
132. NP Dover LLC									
133. NP Nashua LLC									
134. NP Hanson LLC									
135. NP Portfolio Account LLC									
136. NPS2 LLC									

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. Execwest LLC									
138. Trans-Lux Series A pfd (d)									
139. Trans-Lux Corp new (e)					Spinoff (from line 138)	02/26/13			
140.									
141. Citibank money market account	A	Interest	J	T					
142. Citibank checking account		None	J	T					
143. JPMorgan Chase checking account		None	J	T					
144.									
145.									
146.									

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.

(c) = Appeared on the January 2013 statement with a transaction date of 12/31/12 and settlement on 01/04/13. Sale not included on 2012 FDR.

(d) = Acquired 11/11/11 and erroneously omitted from previous reports. The omission had no effect on the value code for Trust #3.

(e) = On 10/13/13, 50,000 shares Trans-Lux were exchanged for 2,000 shares Trans-Lux new.

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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
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