

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2015Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 07/7/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Courthouse 500 Pearl Street 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. Director (ex officio as former president)	St. John's School of Law, Alumni Association (uncompensated)
2. Trustee (ex officio as former president)	Federal Bar Council (uncompensated)
3. Board of Managers	Havens Relief Fund Society (uncompensated)
4. Adjunct Professor	NYU School of Law (compensated)
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. 10/27/03	Cahill Gordon & Reindel LLP agreement in connection with withdrawal from firm. (Copy of agreement filed with 2006 FDR and those of prior years.)
2. 3/4/13	Cahill Gordon & Reindel LLP renouncement of all future payments. (Copy filed with 2012 FDR.)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	NYU School of Law-teaching	\$26,995.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*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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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. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	C	Dividend	N	T					
2. Brk Act #1 Fidelity Cash Reserves [FDRXX]	A	Dividend	O	T					
3. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	C	Dividend	N	T					
4. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	A	Dividend	N	T					
5. Brk Act #1 Fidelity Balanced [FBALX]	A	Dividend	N	T					
6. Brk Act #1 [Ishares TIPS Bond ETF][Part VIII]	A	Dividend	J	T					
7. Brk Act #4 First Eagle Overseas Fund Class A	A	Dividend	J	T					
8. Brk Act #4 LM [SB] Appreciation Fd CL A	B	Dividend	M	T					
9. Brk Act #4 LM [SB] Large Cap Grwth FD CL A	A	Dividend	M	T					
10. Brk Act #4 Morgan Stanley NY Muni Money Mkt Fd CL A	A	Interest	P1	T					
11. Brk Act #4 VFH	A	Dividend	J	T					
12. Brk Act#4 NYC Trans Fin 4/15	B	Interest			Redeemed	11/02/15	K	A	
13. Brk Act #4 NYC GO Ser O 5/17 [15]	A	Interest			Redeemed	06/01/15	K	A	
14. Brk Act #4 NYC GO Ser O 5/17 [15]	A	Interest			Redeemed	06/01/15	J	A	
15. Brk Act #4 NYS Thru H & B 5/18[15]	B	Interest			Redeemed	10/01/15	K	A	
16. Brk Act #4 NYS Thru H & B 5/18[15]	A	Interest			Redeemed	10/01/15	J	A	
17. Brk Act #4 NYC GO Ser A1 5/18[17]	C	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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. Brk Act #4 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	L	T					
19. Brk Act #4 LIPA NY Elec Sys Ser E 5/18	B	Interest	L	T					
20. Brk Act #4 NYS Thruway Au Gen Rev Ser H 5/19	B	Interest	L	T					
21. Brk Act #4 NJ Econ Dev Ser O 5/19	B	Interest			Redeemed	03/02/15	L	A	
22. Brk Act #4 PR Muni Ser C 5.25/19	C	Interest	L	T					
23. Brk Act #4 NYC TFA Ser A1 5/19 [16]	B	Interest	L	T					
24. Brk Act #4 PR Sales Tax 4.625/19	C	Interest			Redeemed	12/29/15	K	A	
25. Brk Act #4 NJ Trans 5/19 [15] (Part VIII)	B	Interest			Redeemed	06/15/15	L	A	
26. Brk Act #4 Metro T SPTN Au NY TSPN REV SER A A5/20	B	Interest			Redeemed	11/16/15	K	A	
27. Brk Act #4 NYC GO Ser A 5/20[16]	C	Interest	M	T					
28. Brk Act #4 LIPA Ser E 5/20 [16]	B	Interest	L	T					
29. Brk Act #4 Lacey Township NJ BRD ED SCH 3.25/20[19]	B	Interest	K	T					
30. Brk Act #4 NJ ST TFA Ser D 5/20[15]	B	Interest			Redeemed	06/15/15	K	A	
31. Brk Act #4 NY St Dorm 5/21[15]	C	Interest	M	T					
32. Brk Act #4 NJ High Ed 4.5/21	A	Interest	K	T	Redeemed (part)	07/06/15	J	A	
33. Brk Act #4 NY Gen Oblig BDS-G1 5.5/21	B	Interest	K	T					
34. Brk Act #4 NYS Pers Inc Tax 5/21[16]	B	Interest	L	T					

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35. Brk Act #4 New York NY Ser A CFIG TCRS 5/21	C	Interest			Redeemed	09/14/15	L	A	
36. Brk Act #4 NJ Econ DVA Rev Sch Fac 4.5/22	B	Interest	K	T					
37. Brk Act #4 New York City G/O Ser A 5/22	B	Interest	L	T					
38. Brk Act #4 Monroe Cnty IDA 5/22	B	Interest			Redeemed	10/26/15	K	A	
39. Brk Act #4 Port Auth NY NJ Cons Rev 5/22[15]	B	Interest			Redeemed	06/01/15	K	A	
40. Brk Act #4 NJ Econ Dev Ref-EE 5.25/22	B	Interest	K	T	Buy	01/29/15	K		
41. Brk Act #4 NJ Econ Dev Ref-EE 5.25/22	A	Interest	K	T	Buy	01/29/15	K		
42. Brk Act #4 NJ Trans 5.25/23	B	Interest	K	T					
43. Brk Act #4 NJ State Trans 5.25/23	C	Interest	L	T					
44. Brk Act #4 NJ Economic Dev Au Sch Constr Ser O 5.25/23	B	Interest			Redeemed	03/02/15	L	A	
45. Brk Act #4 PR Elec Pwr Rev RFDG Ser PP 5/23	B	Interest			Redeemed	12/29/15	K	A	
46. Brk Act #4 NY Gen Oblig BDS E 6/23	B	Interest	K	T					
47. Brk Act #4 NY Gen Oblig BDS E 6/23	A	Interest	K	T	Spinoff (from line 46)	04/02/15	K		
48. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	B	Interest	K	T					
49. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	A	Interest	K	T					
50. Brk Act #4 PR Elec Pwr Ref - PP 5/23	B	Interest	K	T	Buy	12/29/15	K		
51. Brk Act #4 NJ Econ Dev 5.25/24 [15] (Part VIII)	A	Interest			Redeemed	03/02/15	K	A	

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52. Brk Act #4 NJ State Trans 5/24	C	Interest	L	T					
53. Brk Act #4 Illinois St. G/O 5/24	B	Interest	K	T	Buy	02/13/15	K		
54. Brk Act #4 PR Elec 4.625/25	A	Interest			Redeemed	12/29/15	J	A	
55. Brk Act #4 NYS Thwy Au 2d HWY & BDG 5/25	C	Interest			Redeemed	10/01/15	L	A	
56. Brk Act #4 NYS Thwy Au 2d HWY & BDG 5/25	A	Interest			Redeemed	10/01/15	J	A	
57. Brk Act #4 NYC MWA Wtr & Swr Rev Ser C 5/25	C	Interest			Redeemed	06/15/15	L	A	
58. Brk Act #4 Port Auth NY&NJ Con Ser153 4.5/25	B	Interest	L	T					
59. Brk Act #4 NJ EDA Sch Facs Ser EE 5.25/25	C	Interest	L	T					
60. Brk Act #4 NJ TFA Rev Ser B 5.25/25	C	Interest	L	T					
61. Brk Act #4 NJ Econ Dev Auth Sch Facs Const Ref-NN 5/26	B	Interest	L	T					
62. Brk Act #4 NJ Econ Dev Auth School 5.25/26	D	Interest	M	T					
63. Brk Act #4 NJ St. Trans Auth Ser - A 0/26	A	Interest	L	T	Buy	03/19/15	L		
64. Brk Act #4 NY NY 5/28	B	Interest	L	T					
65. Brk Act #4NJ St Trans TR FD Auth Sys Ser A 5.625/28	C	Interest	L	T					
66. Brk Act #4 NY NY IDA Rev AGC 6.125/29	A	Interest	J	T					
67. Brk Act #4 Port Auth NY NJ 140th Ser 5/29[15]	B	Interest			Redeemed	06/01/15	L	A	
68. Brk Act #4 NJ St. Trans TRFD Sys - A 5.125/29	C	Interest	L	T	Buy	05/15/15	L		

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69. Brk Act #4 NJ TFARev Ser B 5.25/36	D	Interest	M	T					
70. Brk Act #4 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	K	T					
71. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest	M	T					
72. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
73. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
74. Brk Act #4 NYS Twy Rev A 5/20[15]	A	Interest			Redeemed	03/16/15	K	A	
75. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest			Redeemed	03/16/15	K	A	
76. Brk Act #4 Port Au NY & NJ 4.5/25	C	Interest	L	T					
77. Brk Act #4 ADP	A	Dividend	J	T					
78. Brk Act #4 CDK	A	Dividend	J	T					
79. Brk Act #4 BR	A	Dividend	J	T					
80. Brk Act #4 BBY	A	Dividend	J	T					
81. Brk Act #4 IBM	A	Dividend	J	T					
82. Brk Act #4 KMB	A	Dividend	J	T					
83. Brk Act #4 HYH		None	J	T					
84. Brk Act #4 KSS	A	Dividend	J	T					
85. Brk Act #4 MDT	A	Dividend	J	T					

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86. Brk Act #4 MSFT	A	Dividend	J	T					
87. Brk Act #4 WMT	A	Dividend	J	T					
88. Brk Act #4 WBA	A	Dividend	J	T					
89. Brk Act #4 VIG	B	Dividend	L	T					
90. Brk Act #7 Bank Dep. Prog. Morgan Stanley Bank, N.A.	A	Interest	L	T					
91. Brk Act # 7 PWC	A	Dividend	K	T					
92. Brk Act #7 RIT	A	Dividend	J	T					
93. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	B	Interest	K	T					
94. Brk Act #9 Bank Dep Prog. Morgan Stanley Bank, N.A.	A	Interest	L	T					
95. Brk Act #9 EEM	A	Dividend	K	T					
96. Brk Act #9 PZI	A	Dividend	K	T					
97. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	K	T					
98. Brk Act #9 New York City MWF Au W & S Ser D O CPN 0/18	A	Interest	L	T					
99. Brk Act #9 NYS G/O BDS-A 0/19	A	Interest	K	T					
100. Brk Act #9 PR Comm H & T 0/20	A	Interest	K	T					
101. Brk Act #9 XLF	A	Dividend	K	T					
102. Brk Act #9 LIPA NY PWR 0/15	A	Dividend			Redeemed	06/01/15	K	A	

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 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)
103. Brk Act #9 SPY	C	Dividend	M	T					
104. Brk Act #9 VIG	B	Dividend	L	T					
105. Brk Act #10 Bank Dep Prog. Morgan Stanley Bank, N.A.	A	Interest	J	T	Buy	06/02/15	O		
106. Brk Act #10 NJ Turnpike Auth Ser - H 5/20	B	Interest	L	T	Buy	10/13/15	L		
107. Brk Act #10 NY St. Dorm Auth North Shore Rev A 5/21	B	Interest	L	T	Buy	06/05/15	L		
108. Brk Act #10 Mass St. Dev Fin Agy Rev H 5/21	B	Interest	L	T	Buy	08/02/15	L		
109. Brk Act #10 NJ Health Care Facs 5/21	B	Interest	L	T	Buy	07/02/15	L		
110. Brk Act #10 St. of Louisiana Unclmd Pty 5/21	B	Interest	L	T	Buy	08/19/15	L		
111. Brk Act #10 Guam Govt Business Priv. Ser A 5/22	B	Interest	L	T	Buy	07/28/15	L		
112. Brk Act #10 Delaware Riv Jt Toll Bridge 5/22	B	Interest	L	T	Buy	08/20/15	L		
113. Brk Act #10 St. of Connecticut Health Facs 5/22	B	Interest	L	T	Buy	08/28/15	L		
114. Brk Act #10 Piedmont Mun Pwr Agy 5/23	B	Interest	L	T	Buy	10/09/15	L		
115. Brk Act #10 NJ Health Care Facs Fing Auth 5/23	B	Interest	L	T	Buy	06/24/15	L		
116. Brk Act #10 Monmouth Cnty NJ Impt Auth Lease 5/23	B	Interest	L	T	Buy	08/20/15	L		
117. Brk Act #10 Delaware Riv & Bay Auth Del Rev B 5/24	B	Interest	L	T	Buy	10/05/15	L		
118. Brk Act #10 Moorestown Twp NJ School Dist 5/24	B	Interest	L	T	Buy	09/23/15	L		
119. Brk Act #10 NJ Turnpike Auth Rev Ser B 5/26	B	Interest	L	T	Buy	07/01/15	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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Name of Person Reporting

Castel, P. Kevin

Date of Report

07/7/2016

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)
120. Brk Act #10 Metropolitan Trans Auth 5/26	B	Interest	L	T	Buy	07/24/15	L		
121. Brk Act #10 Mercer Cnty NJ Impt Auth 5/27	B	Interest	L	T	Buy	08/13/15	L		
122. Brk Act #10 Port Auth of NY & NJ Consld Rev 194 5/27	B	Interest	L	T	Buy	10/09/15	L		
123. Brk Act #13 Fidelity Equity Inc[FEQIX]	D	Dividend	P1	T					
124. Brk Act #13 Fidelity Inter Bond [FTHR]	B	Interest	N	T					
125. Brk Act #13 Fidelity Capital Apprec [FDCAX]	B	Dividend	M	T					
126. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	A	Interest	J	T					
127. Bank Act #14 Chase Accounts	A	Interest	K	T					
128. Brk Act #15 Fidelity Smart Account	A	Interest	J	T					
129. Bank Act #16 TD Bank		None	J	T	Buy	12/1/15	J		
130. Real Estate Long Island NY #1		None	M	W					

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

Name of Person Reporting Castel, P .Kevin	Date of Report 07/7/2016
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, line 6 of 2015 FDR Brk Act #1 Ishares TIPS Bond ETF inadvertently omitted from prior FDRs. Bought 1/9/13, Value Code K

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Castel, P .Kevin

Date of Report

07/7/2016

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/ P .Kevin Castel

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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