

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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>Seibel, Cathy                                                                                                                                               | <b>2. Court or Organization</b><br><br>U.S. District Court --S.D.N.Y.                                                                                                                                                                                                                               | <b>3. Date of Report</b><br><br>05/14/2012                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>District Judge -- active                                                                             | <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>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>Charles L. Bricant U.S. Courthouse<br>300 Quarropas St., Rm. 275<br>White Plains, NY 10601                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information. Insert signature on last page.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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. <input type="checkbox"/>                              | <input type="checkbox"/>                 |
| 2. <input type="checkbox"/>                              | <input type="checkbox"/>                 |
| 3. board member                                          | Fordham Law Alumni Association           |
| 4. Lecturer-in-Law (part-time trial practice instructor) | Columbia University School of Law        |
| 5. member                                                | Fordham Law School Dean Search Committee |

## 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. 2011     | \$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2012 |
| 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.)*

| DATE    | SOURCE AND TYPE                             | INCOME<br>(yours, not spouse's) |
|---------|---------------------------------------------|---------------------------------|
| 1. 2011 | Columbia University -- payment for teaching | \$10,000.00                     |
| 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.)*

| DATE         | SOURCE AND TYPE                                                                                                      |
|--------------|----------------------------------------------------------------------------------------------------------------------|
| 1. 2011      | Columbia University -- salary as faculty member and physician                                                        |
| 2. 2/7/11    | Johns Hopkins University Press -- \$2000 advance on book royalties                                                   |
| 3. 2/25/11   | Montefiore Medical Center -- \$750 honorarium for speaking                                                           |
| 4. 3/11/11   | Robert E. Shepard Agency (book agent) -- \$498.21 book royalties on book published by Johns Hopkins University Press |
| 5. 4/1/11    | National Library of Medicine -- \$100 payment for writing                                                            |
| 6. 9/8/11    | New England Journal of Medicine -- \$1500 payment for writing                                                        |
| 7. 9/12/11   | Rutgers University -- \$300 honorarium for speaking                                                                  |
| 8. 9/19/11   | New York Times -- \$75 payment for writing                                                                           |
| 9. 10/11/11  | University of Pennsylvania -- \$500 honorarium for speaking                                                          |
| 10. 10/18/11 | Weill Cornell Medical Center -- \$750 honorarium for speaking                                                        |
| 11. 11/16/11 | New York Academy of Medicine -- \$500 honorarium for speaking                                                        |
| 12. 12/8/11  | Kansas University -- \$1000 honorarium for speaking                                                                  |
| 13. 12/20/11 | New York Times -- \$850 payment for writing                                                                          |

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**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.)*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.<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. American Century Vista Fund                            | A | Dividend     | L | T |         |          |   |   |  |
| 2. Astoria Federal Savings account (CD)                   | B | Interest     |   |   | Matured | 01/08/11 | M | B |  |
| 3. Astoria Federal Savings account (CD)                   | A | Interest     | M | T | Buy     | 01/08/11 | M |   |  |
| 4. Astoria Federal Savings account (savings)              | A | Interest     | J | T |         |          |   |   |  |
| 5. Astoria Federal Savings account (CD)                   | B | Interest     | L | T |         |          |   |   |  |
| 6. Astoria Federal Savings account (savings)              | A | Interest     | J | T |         |          |   |   |  |
| 7. Astoria Federal Savings account (checking)             | A | Interest     | J | T |         |          |   |   |  |
| 8. AT&T common stock                                      | A | Dividend     | J | T |         |          |   |   |  |
| 9. AT&T common stock                                      | A | Dividend     | J | T |         |          |   |   |  |
| 10. Brandywine Fund                                       | A | Dividend     | L | T |         |          |   |   |  |
| 11. Comcast common stock                                  | A | Dividend     | J | T |         |          |   |   |  |
| 12. Comcast common stock                                  | A | Dividend     | J | T |         |          |   |   |  |
| 13. Prudential (formerly Dryden) Global Total Return Fund | A | Dividend     | J | T |         |          |   |   |  |
| 14. Dreyfus NY Tax-Exempt Bond Fund                       | B | Dividend     | K | T |         |          |   |   |  |
| 15. Enbridge Energy Partners LP common stock              | B | Dividend     | K | T |         |          |   |   |  |
| 16. Fidelity Magellan Fund (IRA)                          | A | Distribution | K | T |         |          |   |   |  |
| 17. Fidelity Capital Appreciation Fund (IRA)              | A | Distribution | 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 \$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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## 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) |

|                                                               |   |          |   |   |             |          |   |   |  |
|---------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 18. Fidelity NY Muni Income Fund                              | C | Interest | L | T |             |          |   |   |  |
| 19. Janus Fund                                                | A | Dividend | M | T |             |          |   |   |  |
| 20. John Hancock Patriot Premium Div Fund I common stock      | B | Dividend | K | T |             |          |   |   |  |
| 21. Metropolitan Transportation Authority NY Municipal Bonds  | A | Interest | J | T |             |          |   |   |  |
| 22. Morgan Stanley Active Assets Money Trust                  | A | Interest | K | T |             |          |   |   |  |
| 23. NY 529 Plan -- Moderate Age-Based Option Income Portfolio |   | None     |   |   | Distributed | 06/27/11 | K | C |  |
| 24. NY 529 Plan -- Moderate Age-Based Option Income Portfolio |   | None     | K | T |             |          |   |   |  |
| 25. RS Growth Fund                                            | A | Dividend | L | T |             |          |   |   |  |
| 26. TIAA/CREF T-C Lifecycle 2025 Rtrmt. Fund                  | A | Dividend | J | T |             |          |   |   |  |
| 27. TIAA/CREF stock fund (retirement annuity)                 |   | None     | M | T |             |          |   |   |  |
| 28. TIAA/CREF global equity fund (retirement annuity)         |   | None     | K | T |             |          |   |   |  |
| 29. T. Row Price Blue Chip Growth Fund IRA                    | A | Dividend | K | T |             |          |   |   |  |
| 30. T. Rowe Price Blue Chip Growth Fund IRA                   | A | Dividend | K | T |             |          |   |   |  |
| 31. T. Rowe Price Prime Reserve Fund                          | A | Dividend | M | T |             |          |   |   |  |
| 32. T. Rowe Price Prime Reserve Fund                          | A | Dividend | N | T |             |          |   |   |  |
| 33. T. Rowe Price Prime Reserve Fund                          | A | Dividend | N | T |             |          |   |   |  |
| 34. Vanguard 500 Index Fund (retirement annuity)              | B | Dividend | N | 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 \$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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (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) |

|                                                                |   |          |   |   |  |  |  |  |  |
|----------------------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 35. Vanguard International Growth Fund<br>(retirement annuity) | B | Dividend | L | T |  |  |  |  |  |
| 36. Zweig Total Return Fund Inc.                               | B | Dividend | J | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of 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/ **Cathy Seibel**

**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