

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2006

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) HAIGHT CHARLES S. JR.		2. Court or Organization USDC SDNY		3. Date of Report 07/02/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR U.S. DISTRICT JUDGE		5a. Report Type (check appropriate type) ____ Nomination, Date ____ ____ Initial ☒ Annual ____ Final		6. Reporting Period 01/01/2006 - 12/31/2006
7. Chambers or Office Address 500 PEARL STREET - RM 1440 NEW YORK NY 10007		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____		

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1	<u>ADVISORY TRUSTEE</u>	<u>AMERICAN - SCANDINAVIAN FOUNDATION</u>
2	<u>DIRECTOR</u>	<u>KENNEDY CHILD STUDY CENTER</u>
3	<u>BOARD OF MANAGERS</u>	<u>HAVENS RELIEF FUND SOCIETY</u>

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements.)

1	_____	_____
2	_____	_____

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

A. Filer's Non-Investment Income

☒

NONE (No reportable non-investment income.)

1	_____	_____	\$
2	_____	_____	\$
3	_____	_____	\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☒

NONE (No reportable non-investment income.)

1	_____	_____	\$
2	_____	_____	\$

RECEIVED
 2007 JUL -9 A 11:04
 FINANCIAL
 DISCLOSURE OFFICE
 INCOME

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

HAIGHT CHARLES S. JR.

07/02/2007

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION

☒ NONE (No such reportable reimbursements.)

1		
2		
3		
4		
5		
6		
7		

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☒ NONE (No such reportable gifts.)

1			\$
2			\$
3			\$
4			\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☒ NONE (No reportable liabilities.)

1			
2			
3			
4			
5			

*Value Codes

J-\$15,000 or less

K-\$15,001-\$50,000

L-\$50,001-\$100,000

M-\$100,001-\$250,000

N-\$250,001-\$500,000

O-\$500,001-\$1,000,000

P-\$1,000,001-\$5,000,000

Q-\$5,000,001-\$25,000,000

R-\$25,000,001-\$50,000,000

S-\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

HAIGHT CHARLES S. JR.

Date of Report

05/02/2009

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.) **PAGE 3 OF 9**

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code 1 (A-H)	Type (e.g., div., rent or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 A. ASSETS OWNED BY REPORTING INDIVIDUAL									
2									
3 HERITAGE CASH TRUST	A	INT	J	T					
4 WALT DISNEY CO	A	DIV	J	T	PARTIAL SALE	1/3	J	C	
5 HOME DEPOT INC	A	DIV	J	T	PARTIAL SALE	6/1	J	C	
6 CVS CORP	A	DIV	J	T	PARTIAL SALE	1/3	J	B	
7 JOHNSON & JOHNSON	A	DIV	J	T					
8 MICROSOFT CORP	A	DIV	J	T					
9 MOTOROLA INC	A	DIV	J	T	BUY	6/1	J		
10 PFIZER INC.	A	DIV	J	T					
11 QUEST DIAGNOSTICS	A	DIV	J	T					
12 TARGET CORP	A	DIV	J	T					
13 3M COMPANY	A	DIV	J	T	BUY	6/2	J		
14 UNITED PARCEL	A	DIV	J	T					
15 BARON GROWTH FUND	NONE		K	T					
16 COLUMBIA MARRICO EQUITIES FUND CL A			K	J	BUY	6/5	K		
17 HERITAGE MID CAP STOCK FUND	NONE		K	T					
18									

1 Income/Gain Codes: (See Col. D1, D4)	A=\$0.001 or less P=\$50,001-\$100,000	B=\$1,001-\$2,500 Q=\$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 Col. C1, D3)	J=\$15,000 or less N=\$250,001-\$500,000 P=\$250,001-\$500,000	K=\$5,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 R=\$1,000,001-\$5,000,000 P+=More than \$50,000,000	M=\$100,001-\$250,000 R2=\$5,000,001-\$25,000,000	
3 Value Method Codes: (See Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

HAIGHT CHARLES S. JR.
~~HAIGHT~~

Date of Report

07/02/2007

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-37 of Instructions.)

PAGE 4 OF 9

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-F)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 ISHARES TR S+P SMALL CAP 600					PARTIAL SELL	1/3	J	B	
2 " " " "					SELL	6/1	J	B	
3 NEW YORK NY GEN OBLIGATION BONDS	B	INT	K	T					
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									

1 Income/Grant Codes: (See Col. B1, 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 E=\$15,001-\$50,000
2 Value Codes: (See Col. C1, 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 Col. C2)	Q=Appraisal U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

HAIGHT CHARLES S. JR.

07/02/2009

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

PAGE 5 OF 9

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 B. ASSETS OWNED BY REPORTING INDIVIDUAL									
2									
3 HERITAGE CASH TRUST	A	INT.	J	T					
4 BERKSHIRE HATHAWAY	NONE		J	T					
5 CISCO SYSTEMS	NONE		J	T					
6 CITIGROUP WC.	A	DIV	K	T	PARTIAL SALE	1/3	J	C	
7 COMCAST CORP.	NONE		K	T					
8 CONOCO PHILLIPS	NONE		J	T	BUY	9/13	J		
9 EXXON MOBIL CORP	A	DIV	J	T					
10 GENERAL ELECTRIC	A	DIV	J	T					
11 IBM	A	DIV			SALE	9/13	J	D	
12 J.P. MORGAN CHASE	A	DIV	J	T					
13 DISCOVERY HOLDING CO.	NONE				SALE	5/2	J	B	
14 LIBERTY MEDIA CORP	NONE				PARTIAL SALE	6/1	J	C	
15 " " " "					SALE	9/13	J	C	
16 MEDTRONIC INC.	A	DIV	J	T					
17 STRYKER CORP.	A	DIV	J	T	BUY	6/1	J		
18 TIME WARNER	A	DIV	J	T					

1 Income Tax Code: (See Pub. 914)	A-\$0.00-\$100.00 B-\$100.01-\$100.00 C-\$100.01-\$100.00 D-\$100.01-\$100.00 E-\$100.01-\$100.00 F-\$100.01-\$100.00 G-\$100.01-\$100.00 H-\$100.01-\$100.00 I-\$100.01-\$100.00 J-\$100.01-\$100.00 K-\$100.01-\$100.00 L-\$100.01-\$100.00 M-\$100.01-\$100.00 N-\$100.01-\$100.00 O-\$100.01-\$100.00 P-\$100.01-\$100.00 Q-\$100.01-\$100.00 R-\$100.01-\$100.00 S-\$100.01-\$100.00 T-\$100.01-\$100.00 U-\$100.01-\$100.00 V-\$100.01-\$100.00 W-\$100.01-\$100.00 X-\$100.01-\$100.00 Y-\$100.01-\$100.00 Z-\$100.01-\$100.00	2 Value Code: (See Pub. 914)	A-\$0.00-\$100.00 B-\$100.01-\$100.00 C-\$100.01-\$100.00 D-\$100.01-\$100.00 E-\$100.01-\$100.00 F-\$100.01-\$100.00 G-\$100.01-\$100.00 H-\$100.01-\$100.00 I-\$100.01-\$100.00 J-\$100.01-\$100.00 K-\$100.01-\$100.00 L-\$100.01-\$100.00 M-\$100.01-\$100.00 N-\$100.01-\$100.00 O-\$100.01-\$100.00 P-\$100.01-\$100.00 Q-\$100.01-\$100.00 R-\$100.01-\$100.00 S-\$100.01-\$100.00 T-\$100.01-\$100.00 U-\$100.01-\$100.00 V-\$100.01-\$100.00 W-\$100.01-\$100.00 X-\$100.01-\$100.00 Y-\$100.01-\$100.00 Z-\$100.01-\$100.00	3 Value Method Code: (See Pub. 914)	A-Appraisal B-Book value C-Cost (real estate only) D-Other E-Assessment F-Estimated G-Cash/Market
--------------------------------------	--	---------------------------------	--	--	---

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

HAIGHT CHARLES S. JR

07/02/2007

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

PAGE 6 OF 9

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 WASHINGTON MUTUAL	A	DIV	J	T					
2 YAHOO INC.	NONE		J	T	BUY	12/8	J		
3 TYCO INTERNATIONAL	A	DIV			SELL	6/1	J	B	
4 BARON FIFTH AVE.	NONE		K	T	BUY	1/3	J		
5 OAK MARK FUND CLASS I	A	DIV	K	T					
6 OAKMARK INTERNATL. FUND	A	DIV	K	T					
7 MASTERS SELECT INTERNATL. FUND	A	DIV	K	T					
8 PIMCO TOTAL RETURN FUND	A	DIV	J	T	BUY	9/14	J		
9 T. ROWE PRICE INTL. BOND FUND	A	INT	J	T	BUY	9/13	J		
10 ROYCE PREMIER FUND	A	DIV	J	T					
11 I SHARES TR DT SEC DIV INX	A	DIV	K	T					
12 I SHARES TR MSCI EAF IDX	A	DIV	K	T					
13 I SHARES TR S&P MIDCAP 400	A	DIV	J	T	PARTIAL SELL	6/1	J	C	
14 NY NY GEN. OBLIGATION BONDS	B	INT	K	T					
15 NY STATE TWY AUTH HWAY & BRGTR. FD	B	INT	K	T					
16 NY STATE DORM AUTHORITY	B	INT	K	T					
17 NIAGARA FALLS NY CITY SCHOOL DIST.	B	INT	K	T					
18 NY NY GENERAL OBLIGATION BONDS	B	INT	K	T					

1	Income/Gain Codes: A=\$1,000 or less (Sec Col. B1, D4)	B=\$1,001-\$2,500	C=\$2,501-\$5,000	D=\$5,001-\$15,000	E=\$15,001-\$50,000
2	Value Codes: J=\$15,000 or less (Sec Col. C1, D3)	K=\$15,001-\$50,000	L=\$50,001-\$100,000	M=\$100,001-\$250,000	N=\$250,001-\$500,000
3	Value Method Codes: Q=Appraisal (Sec Col. C2)	R=Cost (real estate only)	S=Assessment	T=Cash/Market	U=Book value

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

HAIGHT CHARLES S. JR.

07/02/2007

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

PAGE 7 OF 9

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-F)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 NY STATE GENERAL OBLIGATION BONDS	B	INT	K	T					
2 NY NY GENERAL OBLIGATION BONDS	B	INT	K	T					
3 MADISON COMMUNITY BANK - C/D	A	WT			REDEMP	1/27	J	NONE	
4 WBYMAC BANK PASADENA C/D	A	WT			REDEMP	6/30	K	NONE	
5 LUCCENT TECHNOLOGIES	NONE				WARRANT EXP.	5/2	J	A	
6 WASHINGTON MUTUAL BANK HENDERSON C/D	A	WT			BUY	7/10	K		
7 HSBC C/D	A	WT	J	T					
8 VANGUARD WINDSOR II FUND									
9 HSBC CHECKING ACCT	A	INT	J	T					
10 TRUST W/W OF [REDACTED]	EX	INT/DIV	M	T	SEE REMARKS, PART VIII				
11									
12									
13									
14									
15									
16									
17									
18									

1 Income/Gain Codes (See Col. B1, 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-\$10,000 I2=More than \$5,000,000	E=\$15,001-\$50,000
2 Value Codes (See Col. C1, D3)	J=\$15,000 or less N=\$250,001-\$500,000 P=\$250,000.001-\$500,000,000	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 H1=\$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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

HAIGHT CHARLES S. JR.

07/02/2007

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

PAGE 8 OF 9

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. PAGE 8 OF 9 Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-F)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 C. ASSETS [REDACTED] HELD WITH [REDACTED]									
2									
3 DELAFIELD FUND	A	DSV			PARTIAL SELL	2/15	J	A	
4 " " " "					SELL	7/5	J	A	
5 HENNESSY CORNERSTONE GROWTH FUND	A	DIV			PARTIAL SELL	2/16	J	A	
6 " " " "					SELL	7/3	J	C	
7 BUFFALO SMALL CAP FUND	A	DIV			PARTIAL SELL	2/21	J	B	
8 " " " "					SELL	7/7	J	B	
9 BANK OF WINTER USA	A	INT			ACCT. CLOSED	11/10	J	NONE	
10 FIDELITY SHORT TERM BOND FUND	A	WT			SELL	1/17	J	A	
11 VANGUARD INFLATION PROTECTION FUND	A	DIV INT	K	T					
12 VANGUARD MONEY MARKET FUND	A	INT	J	T	ACCT. OPENED	7/24			
13 ING DIRECT SAVING BANK	B	WT	L	T					
14 US TRUST CO. CHECKING ACCT	NONE		J	T					
15									
16									
17									
18									

1 Income/Gain Codes: A=\$1,000 or less (See Col. D1, D4)	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 I=\$5,000,001-\$50,000,000	E=\$15,001-\$50,000
2 Value Codes: J=\$15,000 or less (See Col. C1, D3)	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 P=\$1,000,001-\$5,000,000	M=\$100,001-\$250,000 Q=\$250,001-\$500,000	R=\$250,001-\$500,000 P2=\$5,000,001-\$25,000,000
3 Value Method Codes: Q=Appraisal (See Col. C2)	D=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

HAUGHT CHARLES S. JR

Date of Report

07/02/2007

PAGE 9 of 9

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

Page 8, line 14 of Part VII

Please refer to my explanatory letter dated December 5, 2006, responding to an inquiry about this item on my 2005 Report.

Page 8, lines 3, 4, 5, 6, 7 and 8¹⁰ of Part VII.

These entries refer to partial and then total redemption of shares in the listed mutual funds. Column D(1) should read "redemption" ~~rather~~ rather than "sell" on these lines.

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

Date 07/02/2007

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.)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-401
One Columbus Circle, N.E.
Washington, D.C. 20544