

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/06/2016
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 01/01/2015 to 12/31/2015
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.	Trustee	Trust #1
2.	Director	Fordham Law Alumni Association
3.	Trustee	Trust #2
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.)*

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Emory Law School	5/5/2015 - 5/8/2015	Atlanta, GA	Trial techniques program (teach)	Transportation, meals, hotel
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	M
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)	C	Rent	L	R					
2. Chase Bank, various accounts	A	Interest	L	T					
3. Fidelity Growth Company Fund	A	Dividend	K	T	Sold (part)	03/10/15	J		
4.					Sold (part)	03/19/15	J		
5. Fidelity NY Muni MM Fund	A	Dividend	J	T					
6. iShares S&P 500 Index		None			Sold	03/10/15	J		
7. iShares S&P National Municipal Bond	A	Dividend	J	T	Buy	05/18/15	J		
8. iShares Core MSCI Emerging Markets	A	Dividend			Buy	08/07/15	J		
9.					Sold	12/24/15	J		
10. NMIS General NY MM Fund Class B	A	Interest	J	T					
11. Nuveen New York Dividend Advantage Municipal 2	A	Dividend			Merged (with line 12)	06/09/15	J		
12. Nuveen NY Municipal Dividend Advantage	A	Dividend	K	T	Buy	03/10/15	J		
13. Vanguard NY LT Tax-Exempt Fund Investor	A	Dividend	J	T					
14. IRA #3	A	Dividend							
15. - T Rowe Price International Bond Fund					Sold	01/29/15	J		
16. - T Rowe Price New Income Fund					Sold	01/29/15	M		
17. IRA #5 (Fidelity)	E	Int./Div.	O	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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 = \$250,000.01 - \$500,000.00	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 \$5,000,000.00	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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☐ 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)

18. - Aberdeen Asia Pac Income					Buy (add'l)	06/23/15	K		
19. - Doubleline Total Return Bond I									
20. - Fidelity Cash Reserves									
21. - Fidelity Floating Rate High Income					Sold (part)	06/23/15	K		
22. - iShares Core MSCI Emerging Markets					Buy (add'l)	02/03/15	J		
23.					Buy (add'l)	03/19/15	J		
24.					Sold (part)	10/28/15	J		
25.					Sold	12/25/15	K		
26. - iShares MSCI EAFE Small Cap Index					Buy (add'l)	12/24/15	J		
27. - iShares S&P 500 Index					Buy (add'l)	03/19/15	J		
28.					Buy (add'l)	05/12/15	K		
29. - Nuveen Build America					Buy (add'l)	01/16/15	K		
30.					Buy (add'l)	03/10/15	K		
31. - SPDR Barclays Capital Short Term High Yield Bond									
32. - Bank of America Corp Bond					Buy	05/05/15	K		
33. - Goldman Sachs Group Inc Medium Term Note					Buy	05/18/15	K		
34. - iShares iBoxx \$ High Yield Corporate Bond					Buy	01/16/15	K		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Buy (add'l)	03/19/15	K		
36.					Buy (add'l)	08/07/15	K		
37. - Nuveen Credit Strategies Income Fund					Buy	08/07/15	K		
38.					Buy (add'l)	10/06/15	K		
39. - PIMCO Income Instl					Buy	06/23/15	K		
40. - Vanguard Emerging Markets					Buy	12/24/15	L		
41. - T Rowe Price Emerging Markets Bond Fund					Sold	10/28/15	J		
42. - iShares Trust Core MSCI Total Intl Stk					Buy	03/10/15	J		
43.					Buy (add'l)	03/19/15	J		
44.					Buy (add'l)	05/05/15	J		
45.					Sold	10/06/15	K		
46. IRA #6 (Fidelity)	D	Dividend	M	T					
47. - Fidelity Cash Reserves									
48. - Fidelity Floating Rate High Income					Sold (part)	05/12/15	K		
49.					Sold	05/18/15	K		
50. - iShares Core MSCI Emerging Markets					Sold	02/12/15	J		
51. - iShares iBoxx \$ Investment Grade Corporate Bond					Sold (part)	02/12/15	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	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)	03/10/15	K		
53.					Sold	05/12/15	J		
54. - iShares MSCI EAFE Small Cap Index					Sold	02/12/15	J		
55. - Nuveen Build Amer Bd Fd					Buy (add'l)	02/12/15	K		
56.					Buy (add'l)	05/12/15	K		
57.					Buy (add'l)	05/18/15	K		
58.					Sold (part)	10/18/15	K		
59. - Payden High Income					Buy (add'l)	03/10/15	K		
60.					Sold (part)	10/28/15	J		
61. - Angel Oak Multistrat Income Instl					Buy	10/28/15	K		
62. 401(K) #2	D	Dividend	N	T					
63. -Vanguard 500 Index					Buy (add'l)	01/16/15	K		
64.					Buy (add'l)	02/03/15	J		
65.					Buy (add'l)	03/27/15	J		
66. - Vanguard Small Capitalization Stock					Buy (add'l)	03/27/15	J		
67.					Sold (part)	10/28/15	J		
68. - Vanguard Total Bond Market Index Inv					Sold (part)	01/16/15	K		

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69.					Sold (part)	02/03/15	J		
70.					Buy (add'l)	03/27/15	J		
71.					Buy (add'l)	10/28/15	J		
72. Northwestern Mutual Whole Life Policy	C	Dividend	L	T					
73. Northwestern Variable Life Policy #1	B	Dividend	L	T					
74. - Northwestern MM (Y)									
75. - Northwestern Balanced (Y)									
76. - Northwestern Index 500 Stock (Y)									
77. - Northwestern Growth Stock (Y)									
78. - Northwestern Index 400 Stock (Y)									
79. - Northwestern Small Cap Growth Stock (Y)									
80. - Northwestern Russell Global Real Estate Securities (Y)									
81. Northwestern Variable Life Policy #2	B	Dividend	L	T					
82. - Northwestern MM (Y)									
83. - Northwestern Balanced (Y)									
84. - Northwestern Index 500 Stock (Y)									
85. - Northwestern Growth Stock (Y)									

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86. - Northwestern Index 400 Stock (Y)									
87. - Northwestern Small Cap Growth Stock (Y)									
88. - Northwestern Russell Global Real Estate Securities (Y)									
89. Trust #1	C	Int./Div.							
90. - Afs Global Balanced Fund					Sold	08/28/15	J		
91. - Bank of America Corp					Sold	08/28/15	J		
92. - Deutsche Global High Income Fund					Sold	08/28/15	K		
93. - Deutsche NY Tax Free Income Fund					Sold	08/28/15	K		
94. - GE Capital Corp InterNotes					Sold	08/28/15	J		
95. - Monroe Cnty NY ARPT Auth Rev Tax Ex Muni Bond					Sold	08/28/15	J		
96. - NY Insured Municipal Income Trust Series No. 190					Sold	08/28/15	J		
97. - NY Insured Municipal Income Trust Series No. 160					Sold	08/28/15	J		
98. - NY Insured Municipal Income Trust Series No. 171					Sold	08/28/15	J		
99. - Edward Jones MM					Sold	10/06/15	M		
100. - MetLife Investors Fixed Annuity					Closed				
101. - GE Capital Retail Bank Account					Sold	08/28/15	J		
102. - Goldman Sachs Bank USA Account					Sold	08/28/15	J		

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103. Trust #2	A	Int./Div.	K	T					
104. - Afs Global Balanced Fund (X)					Sold	11/06/15	J		
105. - Edward Jones Tax Free MM (X)									
106. - GE Capital Corp InterNotes (X)					Sold	11/06/15	J		
107. - Natl Rural Utils COOP Fin Corp (X)					Sold	11/06/15	J		
108. - NY Insured Municipal Income Trust Series No. 171 (X)					Sold	11/06/15	J		

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

Part VII

- T Rowe Price Blue Chip Growth Fund reported on line 10 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- T Rowe Price Equity Income Fund reported on line 11 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- T Rowe Price Mid-Cap Growth Fund reported on line 12 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- T Rowe Price Blue Mid-Cap Value Fund reported on line 13 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- T Rowe Price Small-Cap Stock Fund reported on line 14 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- T Rowe Price Spectrum International Fund reported on line 15 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- T Rowe Price High Yield Fund reported on line 16 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- Vanguard Wellington Fund reported on line 60 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- All of the assets in IRA #4 on lines 20-23 of the 2014 disclosure were transferred to IRA #6 (Fidelity) in kind and sold in 2014. Therefore, IRA #4 and the assets on lines 20-23 are not included in this report.
- Croton Harmon NY Union Free School Tax Ex Muni Bond reported on line 84 of the 2014 disclosure had a zero balance on Dec 31 2014 with no activity in 2015 and therefore is not included on this report.
- Lines 9-11: All of the assets in IRA #3 were transferred to IRA #5 (Fidelity) in kind and sold.
- The assets in Trust #1 were liquidated on 8/28/15 and the proceeds were distributed to the beneficiaries on 10/6/15. Trust #1 was closed in November 2015.
- Northwestern Variable Life Policy #1 (lines 73 - 80) and Northwestern Variable Life Policy #2 (lines 81 - 88) were converted to paid up life policies in September 2015. Discretion over the investment options in the policies was lost when the policies were converted.
- Line 100: The MetLife Investors Fixed Annuity contract terminated with the death of its beneficiary on 8/20/15.
- Lines 103-108: Became a Trustee of Trust #2 on 8/20/15.

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Name of Person Reporting

Briccetti, Vincent L.

Date of Report

05/06/2016

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/ 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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