

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Berman, Richard M.	2. Court or Organization U.S. District court - S.D.N.Y.	3. Date of Report 08/17/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. District Court 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Berman, Richard M.

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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.	Morgan Stanley	Line of Credit	N
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. Apple Inc	A	Dividend	L	T					
2. Liberty Media Corp Liberty Cap Cl A	A	Dividend	K	T					
3. LM CBA Equity Income Builder Fund CL A	A	Dividend	K	T					
4. Morgan Stanley Money Market Fund	A	Interest	L	T					
5. US Treasury Inflation Index NTS CPI Non Seasonally	A	Interest	M	T					
6. SPDR S&P 500 ETF Trust	C	Dividend	M	T	Buy (add'l)	04/04/16	J		
7.					Buy (add'l)	05/09/16	K		
8.					Buy (add'l)	07/15/16	L		
9.					Buy (add'l)	10/11/16	K		
10. Liberty Media Corp Liberty Cap com Ser A		None	K	T					
11. Liberty Media Corp Liberty Cap Com Ser A		None	K	T	Sold (part)	10/31/16	J		
12. SPDR Gold Trust		None	J	T					
13. Vanguard 500 Index Trust	C	Distribution	M	T					
14. Vanguard Total Intl Index	C	Distribution	M	T					
15. Vanguard Total Stock Index	D	Distribution	M	T	Buy (add'l)	03/08/16	L		
16.					Buy (add'l)	03/08/16	K		
17.					Sold (part)	07/15/16	L	D	

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 J = More than \$50,000,000
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	

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18. Ishares Russell 2000 Index Fund	B	Dividend	M	T	Sold (part)	03/08/16	K	C	
19.					Sold (part)	05/06/16	J	A	
20.					Sold (part)	05/09/16	K	D	
21. UTS SPDR Trust Ser I	C	Dividend	L	T					
22. TSASC Inc NY TOB Settlement Asset	C	Interest	L	T					
23. New York St Urban Dev Corp Rev Personal Income Tax	B	Interest	M	T					
24. T-C Infl Lnkd Bond Rtmt	A	Distribution	K	T					
25. T-C Lifecycle 2020 Rtmt		None	K	T					
26. T-C Lifecycle Rtmt Inc Rtmt	A	Distribution	K	T					
27. Property Indian River County, FL	E	Rent	L	W					
28. China Mobile LTD Spn ADR	A	Dividend	J	T	Sold (part)	01/11/16	J		
29. SPDR Gold Trust		None	K	T	Buy (add'l)	11/03/16	J		
30. Ishares TR Dow Jones US	A	Dividend	J	T					
31. Union Pacific corp	A	Dividend	K	T					
32. Rydex ETF TR Index Fund	A	Dividend	J	T					
33. New Jersey St Genl Obligation	B	Interest	K	T					
34. New York State Dorm Auth Pers Inc Tax Rev 2/15/2022	B	Interest	L	T					

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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	
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)

35. Spartan Total Market Index	A	Interest	K	T					
36. Spartan Small Cap Index	A	Interest	K	T					
37. Costco Wholesale Crp	A	Dividend	K	T					
38. Goldman Sachs Group Inc	A	Dividend	K	T	Sold (part)	10/31/16	K		
39. Vanguard S and P Mid Cap 400	A	Dividend			Sold	05/11/16	K	A	
40. Liberty Media Corporation.com	A	Dividend	J	T					
41. Netflix	A	Dividend	K	T					
42. Liberty Media Corp Ser A		None	K	T					
43. United States Treasury Bill	B	Interest	M	T					
44. Liberty Spingo Inc Cl A	A	Dividend	J	T					
45. Invisa Inc	A	Dividend	J	T					
46. Stratasy LTD	A	Dividend	J	T					
47. Guggenheim S&P 500 Equal Weight	A	Dividend	L	T	Buy (add'l)	03/08/16	K		
48. Vanguard S&P 500 ETF	A	Dividend	K	T	Buy (add'l)	05/06/16	K		
49.					Buy (add'l)	05/12/16	K		
50. Rochester NY	C	Interest	M	T					
51. Metropolitan Trans Auth NY Tax FD A 11/15/2021	D	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
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52. Metropolitan Trans Auth NY Rev D 11/15/2018	D	Interest	M	T					
53. North Towanda NYC 9/15/2020	C	Interest			Sold	04/15/16	M		
54. NYS Dorm Auth Pers Tax Ser B 3/15/2030	D	Interest			Sold	01/28/16	M		
55. Port Auth 12/1/2027	B	Interest			Sold	04/15/16	M		
56. NYS Thruway Auth 1/1/2032	A	Interest			Sold	01/06/16	M		
57. NYC GO Ser C 8/1/2032	A	Interest			Sold	04/18/16	M		
58. Chicago City GO Ref A 1/1/2034	A	Interest			Sold	06/22/16	M		
59. Liberty NY Dev Corp 10/1/2037	D	Interest	M	T					
60. City of Chicago Second Lien 11/1/2030	A	Interest			Sold	04/15/16	M		
61. Troy NY Cap Resource 8/1/2029	A	Interest			Sold	04/15/16	M		
62. Triborough Bridge Ref B 11/15/2025	C	Interest	M	T					
63. Illinois GO 3/1/2024	A	Interest			Sold	10/25/16	M		
64. Wells Fargo High Yield Bd A		None			Buy	06/30/16	J		
65.					Sold	10/11/16	J		
66. Clearbridge Dividend Strat A	A	Dividend	J	T	Buy	04/04/16	J		
67. New Jersey Econ Dev Auth School	B	Interest	K	T	Buy	04/07/16	K		
68. Vanguard TTL Stk Mkt ETF	A	Dividend	K	T	Buy	03/08/16	K		

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69.					Buy (add'l)	05/09/16	K		
70.					Sold (part)	10/11/16	K		
71. AB High Income A	A	Dividend	J	T	Buy	10/11/16	J		
72. Doubleline Income Solutions	D	Dividend	M	T	Buy	01/14/16	L		
73.					Buy (add'l)	11/07/16	K		
74. NY General Oblig Sre I - I 3/1/2025	A	Interest			Buy	02/18/16	M		
75.					Sold	10/21/16	M		
76. Metropolitan Trans Auth 11/15/2024	B	Interest	L	T	Buy	02/18/16	L		
77. NY St Urban Development Corp Pers 3/15/2035	B	Interest			Buy	03/22/16	M		
78.					Sold	10/21/16	M		
79. The Carlyle Group LP	C	Dividend	K	T	Buy	04/01/16	K		
80. NJ Econ Dev Auth School 3/1/2026	C	Interest	L	T	Buy	04/07/16	L		
81. Suffolk Cnty NY 5/1/2026	A	Interest			Buy	04/15/16	L		
82.					Sold	10/21/16	K		
83. NJ Trans Trust Fd Auth 6/15/2028	D	Interest	M	T	Buy	04/15/16	M		
84. NJ Econ Dev Auth School Facs 3/1/2030	A	Interest			Buy	04/15/16	M		
85.					Sold	11/23/16	M		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	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	
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86. Nassau Cnty 10/1/2029	A	Interest			Buy	04/15/16	M		
87.					Sold	10/21/16	M		
88. NYC Trans Fin Auth Ser C 11/1/2035	D	Interest	M	T	Buy	04/18/16	M		
89. Nassau Cnty Genl Oblig Ser B 4/1/2022	B	Interest	K	T	Buy	06/22/16	K		
90. Metropolitan Trans Auth Rev A-2 11/15/2022	A	Interest			Buy	06/22/16	L		
91.					Sold	10/24/16	L		
92. First Trust DJ Internet IDX		None	J	T	Buy	05/17/16	J		
93. Vanguard Info Tech	A	Dividend	J	T	Buy	05/17/16	J		
94. NYS Dorm Auth Suppor 10/1/2020	D	Interest	M	T	Buy	10/21/16	M		
95. Rockland Cnty Genl Oblig Pub Ser C 5/1/2021	D	Interest	M	T	Buy	10/24/16	M		
96. NYC Hsg Develop Multi Fam Rev G 11/1/2020	B	Interest	M	T	Buy	10/31/16	M		
97. Metropolitan Trans Auth Sub Ser A-1 11/15/2021	D	Interest	M	T	Buy	11/23/16	M		
98. US Treasury Note Inflation 7/15/2026	A	Interest	M	T	Buy	12/02/16	M		
99. Fannie Mae		None	J	T	Buy	12/02/16	J		
100. Freddie Mac		None	J	T	Buy	12/02/16	J		
101. US Treasury Bill 3/16/2017		None	L	T	Buy	12/16/16	L		
102.									

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103.									
104.									

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.)*

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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/ **Richard M. Berman**

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