

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013Report 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 07/30/2014
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 01/01/2013 to 12/31/2013
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. 2013	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.)*

<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.		
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]	E	Dividend	N	T	Buy (add'l)	01/03/13	K		
2. Brk Act #1 Fidelity Cash Reserves [FDRXX]	A	Dividend	O	T					
3. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	C	Dividend	M	T					
4. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	D	Dividend	M	T					
5. Brk Act #1 Fidelity Balanced [FBALX]	E	Dividend	N	T					
6. Brk Act #1 Ishares Treas Inflation Prot [TIP]	A	Dividend	K	T	Buy	01/09/13	J		
7. Same line 6 above					Buy (add'l)	01/16/13	J		
8. Brk Act #1 Ishares S&P Mid Cap 400 Growth [IJK]	A	Dividend	K	T	Buy	09/20/13	K		
9. Brk Act #4 First Eagle Overseas Fund Class A	A	Dividend	J	T					
10. Brk Act #4 LM [SB] Appreciation Fd CL A (Part VIII)	B	Dividend	M	T					
11. Brk Act #4 LM [SB] Large Cap Grwth FD CL A		None	M	T					
12. Brk Act #4 Morgan Stanley NY Muni Money Mkt Fd CL A	A	Interest	P1	T					
13. Brk Act #4 VFH	A	Dividend	J	T					
14. Brk Act #4 NY NY RFDG Ser B-FGIC TCRS 5.75/13	A	Interest			Redeemed	08/01/13	J	A	
15. Brk Act #4 NYC GO Ser J 4/13	A	Interest			Redeemed	06/03/13	K	A	
16. Brk Act #4 Buffalo NY Ser B 5.375/13 [12]	B	Interest			Redeemed	11/15/13	K	A	
17. Brk Act #4 Nassau Cty IFA Ser A 5/13	A	Interest			Redeemed	11/15/13	K	A	

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 = \$250,000.01 - \$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 NYC GO Ser A 4/13	B	Interest			Redeemed	08/01/13	K	A	
19. Brk Act #4 NYC Ser A G/O 4.3/14	A	Interest			Redeemed	03/21/13	K	A	
20. Brk Act #4 NYC GO Ser I 4.5/14[13]	A	Interest			Redeemed	03/01/13	K	A	
21. Brk Act #4 West Seneca Cent Sch 4.125/14	B	Interest	L	T					
22. Brk Act #4 NYC GO Ser G 4/14	B	Interest	L	T					
23. Brk Act #4 LI Pwr Au[LIPA] 4/15	A	Interest	K	T					
24. Brk Act#4 NYC Trans Fin 4/15	B	Interest	L	T					
25. Brk Act #4 NYS Dorm Pres 4.2/15 [14]	B	Interest	K	T					
26. Brk Act #4 NYC Ser C 5.25/15 [14]	A	Interest	K	T					
27. Brk Act #4 NY NY Ser J 5.25/16	C	Interest	L	T					
28. Brk Act #4 NYS Env Fac Corp St Clean Wtr 5/17	A	Interest			Redeemed	08/12/13	K	A	
29. Brk Act #4 Ventor City NJ Ser C 4/17	A	Interest	K	T					
30. Brk Act #4 NYC GO Ser O 5/17 [15]	B	Interest	L	T					
31. Brk Act #4 NYS Thru H & B 5/18[15]	B	Interest	L	T					
32. Brk Act #4 NYC GO Ser A1 5/18[17]	C	Interest	M	T					
33. Brk Act #4 NY NY RFDG Ser I 5/18 [14]	B	Interest	L	T					
34. Brk Act #4 NYC TFA FUT TAX FGIC SECD Ser E 5.25/18 [13]	B	Interest			Redeemed	02/01/13	K	A	

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35. Brk Act #4 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	L	T					
36. Brk Act #4 LIPA NY Elec Sys Ser E 5/18	B	Interest	L	T					
37. Brk Act #4 NYS Thruway Au Gen Rev Ser H 5/19	B	Interest	L	T					
38. Brk Act #4 NJ Econ Dev Ser O 5/19	C	Interest	L	T					
39. Brk Act #4 PR Muni Ser C 5.25/19	C	Interest	L	T					
40. Brk Act #4 NYC TFA Ser A1 5/19 [16]	B	Interest	L	T					
41. Brk Act #4 PR Sales Tax 4.625/19	C	Interest	L	T					
42. Brk Act #4 NJ Trans 5/19 [15] (Part VIII)	C	Interest	L	T					
43. Brk Act #4 Metro T SPTN Au NY TSPN REV SER A A5/20	B	Interest	L	T					
44. Brk Act #4 NYC GO Ser A 5/20[16]	C	Interest	M	T					
45. Brk Act #4 LIPA Ser E 5/20 [16]	B	Interest	L	T					
46. Brk Act #4 Lacey Township NJ BRD ED SCH 3.25/20[19]	B	Interest	K	T					
47. Brk Act #4 NJ ST TFA Ser D 5/20[15]	B	Interest	L	T					
48. Brk Act #4 NY St Dorm 5/21[15]	C	Interest	M	T					
49. Brk Act #4 NJ High Ed 4.5/21	B	Interest	K	T	Redeemed (part)	12/11/13	J	A	
50. Brk Act #4 NY Gen Oblig BDS-G1 5.5/21	B	Interest	K	T					
51. Brk Act #4 NYC Trans F/A Rev [13] 5.25/21	A	Interest			Redeemed	02/01/13	K	A	

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52. Brk Act #4 NYS Pers Inc Tax 5/21[16]	B	Interest	L	T					
53. Brk Act #4 New York NY Ser A CFIG TCRS 5/21	C	Interest	L	T					
54. Brk Act #4 NJ Econ DVA Rev Sch Fac 4.5/22	B	Interest	K	T					
55. Brk Act #4 New York City G/O Ser A 5/22	B	Interest	L	T					
56. Brk Act #4 Monroe Cnty IDA 5/22	B	Interest	K	T					
57. Brk Act #4 Port Auth NY NJ Cons Rev 5/22[15]	B	Interest	K	T					
58. Brk Act #4 NJ Trans 5.25/23	B	Interest	K	T					
59. Brk Act #4 NJ State Trans 5.25/23	C	Interest	L	T					
60. Brk Act #4 NJ Economic Dev Au Sch Constr Ser O 5.25/23	C	Interest	L	T					
61. Brk Act #4 PR Elec Pwr Rev RFDG Ser PP 5/23	B	Interest	K	T					
62. Brk Act #4 NY Gen Oblig BDS E 6/23	C	Interest	L	T					
63. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	B	Interest	K	T					
64. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	A	Interest	J	T	Spinoff (from line 63)	02/22/13	J		
65. Brk Act #4 NJ Econ Dev 5.25/24 [15] (Part VIII)	B	Interest	K	T					
66. Brk Act #4 NJ State Trans 5/24	B	Int./Div.	L	T					
67. Brk Act #4 Triborough B & T AU 5/24	B	Interest	L	T					
68. Brk Act #4 PR Elec 4.625/25	A	Interest	J	T					

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69. Brk Act #4 NYS Thwy Au 2d HWY & BDG 5/25 (Part VIII)	C	Interest	L	T					
70. Brk Act #4 NYC MWA Wtr & Swr Rev Ser C 5/25 (Part VIII)	C	Interest	M	T					
71. Brk Act #4 Port Auth NY&NJ Con Ser153 4,5/25	C	Interest	L	T	Buy	02/25/13	L		
72. NJ EDA Sch Facs Ser EE 5.25/25	A	Interest	L	T	Buy	10/11/13	L		
73. NJ St Trans TR FD Auth Sys Ser A 5.625/28	B	Interest	L	T	Buy	11/21/13	L		
74. Brk Act #4 NY NY IDA Rev AGC 6.125/29	A	Interest	J	T					
75. Brk Act #4 Port Auth NY NJ 140th Ser 5/29[15]	B	Interest	L	T					
76. Brk Act #4 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	K	T					
77. Brk Act #4 New York City G/O Ser E 5/14	A	Interest	K	T					
78. Brk Act #4 New York City G/O Ser E 5/14	A	Interest	K	T	Spinoff (from line 77)	06/27/13	K		
79. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest	M	T					
80. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	K	T					
81. Brk Act #4 NYC G/O Ser E 5/16	A	Interest	K	T	Spinoff (from line 80)	01/14/13	J		
82. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
83. Brk Act #4 New York NY RFDG Ser H 5/16	B	Interest	K	T					
84. Brk Act #4 New York NY RFDG Ser H 5/16	A	Interest	K	T	Spinoff (from line 83)	02/13/13	K		
85. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					

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86. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
87. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	K	T					
88. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	K	T	Spinoff (from line 87)	10/31/13	K		
89. Brk Act #4 Port Au NY & NJ 4.5/25	C	Interest	L	T					
90. Brk Act #4 ADP	A	Dividend	J	T					
91. Brk Act #4 BR	A	Dividend	J	T					
92. Brk Act #4 BBY	A	Dividend	J	T					
93. Brk Act #4 IBM	A	Dividend	J	T					
94. Brk Act #4 KMB	A	Dividend	J	T					
95. Brk Act #4 KSS	A	Dividend	J	T					
96. Brk Act #4 MDT	A	Dividend	J	T					
97. Brk Act #4 MSFT	A	Dividend	J	T					
98. Brk Act #4 WMT	A	Dividend	J	T					
99. Brk Act #4 WAG	A	Dividend	J	T					
100. Brk Act #4 VIG	B	Dividend	L	T					
101. Brk Act #7 Citibank NA Bank Dep Program	A	Interest	K	T					
102. Brk Act # 7 PWC	A	Dividend	K	T					

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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 #7 RIT	A	Dividend	J	T					
104. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	C	Interest	L	T					
105. Brk Act #9 SB (Western Asset)MUNI NY MNY MKT PORT CL A	A	Interest	M	T					
106. Brk Act #9 EEM	A	Dividend	K	T					
107. Brk Act #9 PZI	A	Dividend	K	T					
108. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	L	T					
109. Brk Act #9 New York City MWF Au W &S Ser D O CPN 0/18	A	Interest	L	T					
110. Brk Act #9 NYS G/O BDS-A 0/19	A	Interest	K	T					
111. Brk Act #9 PR Comm H & T 0/20	A	Interest	K	T					
112. Brk Act #9 XLF	A	Dividend	K	T					
113. Brk Act #9 LIPA NY PWR 0/15	A	Dividend	K	T					
114. Brk Act #9 SPY	B	Dividend	M	T					
115. Brk Act #9 VIG	B	Dividend	L	T					
116. Brk Act #13 Fidelity Equity Inc[FEQIX]	E	Dividend	O	T					
117. Brk Act #13 Fidelity Inter Bond [FTHRX]	D	Interest	N	T					
118. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	M	T					
119. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FDRXX]	A	Interest	J	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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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. Bank Act #14 Chase Accounts	A	Interest	K	T					
121. Brk Act #5 Fidelity Smart Account	A	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

Part VII, line 125 of 2012 FDR Brk #12 VRTS Balance FD A was fully sold on 10/24/12 at Value Code J and Gain Code A.

Part VII, line 126 of 2012 FDR Brk #12 VRTS Tactical FD was fully sold on 10/24/12 at Value Code J and Gain A.

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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/ 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
Administrative Office of the United States Courts
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