

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Seibel, Cathy	2. Court or Organization U.S. District Court --S.D.N.Y.	3. Date of Report 05/15/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address Charles L. Bricant U.S. Courthouse 300 Quarropas St., Rm. 633 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. Vice-President	
2. board member	Fordham Law Alumni Association
3. Adjunct Professor of Law (part-time trial practice instructor)	Columbia University School of Law
4. board member	
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. 2013	\$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2014
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 (yours, not spouse's)
1. 2013	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. 2013	New York University -- salary as faculty member and physician
2. 2/8/13	New York Times -- payment for writing
3. 2/28/13	Johns Hopkins University Press -- book royalties
4. 3/15/13	Philadelphia College of Osteopathic Medicine -- payment for speaking
5. 3/1/13	University of Michigan -- payment for participation on dissertation committee (see Additional Information section)
6. 3/8/13	Beacon Press -- book advance
7. 3/31/13	Johns Hopkins University Press -- book royalties
8. 5/9/13	New York Times -- payment for writing
9. 5/17/13	New York Times -- payment for writing
10. 9/9/13	The Atlantic -- payment for writing
11. 9/12/13	New York Times -- payment for writing
12. 9/13/13	Montefiore Medical Center -- payment for speaking
13. 9/17/13	Rutgers University -- payment for speaking
14. 9/20/13	The Atlantic -- payment for writing
15. 10/29/13	Beacon Press -- book advance

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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.)

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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.			
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. Heritage Fund (formerly American Century Vista Fund)	C	Dividend	L	T					
2. Astoria Federal Savings account (savings)	A	Interest	M	T					
3. Astoria Federal Savings account (savings)	A	Interest	L	T					
4. Astoria Federal Savings account (checking)	A	Interest	J	T					
5. AT&T common stock	A	Dividend	J	T					
6. AT&T common stock	A	Dividend	J	T					
7. Brandywine Fund	A	Dividend	K	T	Redeemed (part)	07/11/13	K		
8. Comcast common stock	A	Dividend	J	T					
9. Comcast common stock	A	Dividend	J	T					
10. Prudential (formerly Dryden) Global Total Return Fund	A	Dividend	J	T					
11. Dreyfus NY Tax-Exempt Bond Fund	B	Dividend	K	T					
12. Enbridge Energy Partners LP common stock	B	Dividend	K	T					
13. Fidelity Magellan Fund (IRA)	C	Distribution	K	T					
14. Fidelity Capital Appreciation Fund (IRA)	C	Distribution	K	T					
15. Fidelity NY Muni Income Fund	C	Interest	L	T					
16. Janus Fund	B	Dividend	M	T					
17. John Hancock Patriot Premium Div Fund I common stock	B	Dividend	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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18. Morgan Stanley Active Assets Money Trust	A	Interest	K	T					
19. NY 529 Plan -- Moderate Age-Based Option Income Portfolio		None			Redeemed	07/26/13	K	D	
20. RS Growth Fund		None	L	T					
21. TIAA/CREF T-C Lifecycle 2025 Inst Fund (formerly Rtrmt. Fund)	B	Dividend	K	T					
22. TIAA/CREF Lifecycle Index 2025 Prem. Fund	A	Dividend	J	T					
23. TIAA/CREF stock fund (retirement annuity)		None	N	T					
24. TIAA/CREF global equity fund (retirement annuity)		None	L	T					
25. T. Row Price Blue Chip Growth Fund IRA	A	Dividend	K	T					
26. T. Rowe Price Blue Chip Growth Fund IRA	A	Dividend	K	T					
27. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
28. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
29. T. Rowe Price Prime Reserve Fund	A	Dividend	N	T					
30. Vanguard 500 Index Fund (retirement annuity)	D	Dividend	N	T					
31. Vanguard International Growth Fund (retirement annuity)	B	Dividend	L	T					
32. Vanguard Long-Term Treasury Inv. Fund (retirement annuity)	A	Dividend	J	T					
33. Vanguard Long-Term Bond Index Fund (retirement annuity)	A	Dividend	J	T					
34. Vanguard Infl'n-Pro'd Seclnst (formerly Sec A) (retirement annuity)	A	Dividend	J	T					

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35. Vanguard US Growth Adm (retirement annuity)		None	J	T	Open	03/01/13	J		
36. Vanguard Target 2025 Inv (retirement annuity)		None	J	T	Open	07/02/13	J		
37. Vanguard Int Term Inv Gd Adm (retirement annuity)	A	Dividend	J	T	Open	03/01/13	J		
38. Vanguard High Yield Corp Adm (retirement annuity)	A	Dividend	J	T	Open	03/01/13	J		
39. Zweig Total Return Fund Inc.	A	Dividend	J	T					

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

Part III.B.

Re: [REDACTED] 3/1/13 payment from University of Michigan for participation in dissertation committee; participation was 11/30/12 but payment was made 3/1/13.

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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
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