

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 06/27/2019
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 01/01/2018 to 12/31/2018
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

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.		
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.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

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	Sold (part)	11/13/18	K		
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	Sold (part)	03/08/18	M		
7.					Sold (part)	08/16/18	K		
8.					Sold (part)	08/16/18	J		
9.					Sold (part)	08/16/18	K		
10.					Sold (part)	09/05/18	M		
11.					Sold (part)	10/05/18	K		
12. Liberty Media Corp Liberty Cap com Ser A		None	K	T					
13. SPDR Gold Trust		None	J	T					
14. Vanguard 500 Index Trust	C	Distribution			Sold	11/16/18	N		
15. Vanguard Total Intl Index	C	Distribution			Sold	11/16/18	N		
16. Vanguard Total Stock Index	D	Distribution	M	T					
17. Ishares Russell 2000 Index Fund	B	Dividend	M	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

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18. UTS SPDR Trust Ser 1	C	Dividend	L	T					
19. TSASC Inc NY TOB Settlement Asset	C	Interest	L	T					
20. New York ST Urban Dev Corp Rev Personal Income Tax	B	Interest	M	T					
21. T-C Infl Lnk'd Bond Rtmt	A	Distribution	K	T					
22. T-C Lifecycle 2020 Rtmt		None	K	T					
23. T-C Lifecycle Rtmt Inc Rtmt	A	Distribution	K	T					
24. Property Indian River County, FL	E	Rent	L	W					
25. SPDR Gold Trust		None	K	T					
26. Ishares TR Dow Jones US	A	Dividend	J	T					
27. Union Pacific corp	A	Dividend	K	T					
28. Rydex ETR TR Index Fund	A	Dividend	J	T					
29. New York State Dorm Auth Pers Inc Tax Rev 2/15/2022	B	Interest	L	T					
30. Spartan Total Market Index	A	Interest	K	T					
31. Spartan Small Cap Index	A	Interest	K	T					
32. Costco Wholesale Crp	A	Dividend	K	T	Buy (add'l)	07/09/18	J		
33.					Buy (add'l)	07/09/18	J		
34. Goldman Sachs Group Inc	A	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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35. Liberty Media Corporation.com	A	Dividend	J	T					
36. Netflix	A	Dividend			Sold (part)	08/03/18	J		
37.					Sold	11/13/18	K		
38. Liberty Media Corp Ser A		None	K	T					
39. United States Treasury Bill	B	Interest	M	T					
40. Liberty Spincor Inc Cl A	A	Dividend	J	T					
41. Invisa Inc	A	Dividend	J	T					
42. Stratays LTD	A	Dividend	J	T					
43. Guggenheim S&P 500 Equal Weight	A	Dividend			Sold	03/08/18	L		
44. Vanguard S&P 500 ETF	A	Dividend	K	T	Sold (part)	03/08/18	K		
45.					Sold (part)	08/03/18	J		
46.					Sold (part)	09/05/18	K		
47. Liberty NY Dev Corp 10/1/2037	D	Interest	M	T					
48. Vanguard TTL Stk Mkt ETF	A	Dividend	K	T	Sold (part)	03/08/18	K		
49.					Sold (part)	08/16/18	J		
50. AB High Income A	A	Dividend			Sold	04/12/18	J		
51. Metropolitan Trans Auth 11/15/2024	B	Interest			Sold	08/24/18	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

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52. The Carlyle Group LP	C	Dividend			Sold	12/20/18	K		
53. NYC Trans Fin Auth Ser C 11/1/2035	D	Interest			Sold (part)	11/16/18	L		
54.					Sold	12/20/18	K		
55. Nassau Cnty Genl Oblig Ser B 4/1/2022	B	Interest			Sold	12/20/18	K		
56. First Trust DJ Internet IDX		None			Sold	11/13/18	J		
57. Vanguard Info Tech	A	Dividend			Sold	08/08/18	J		
58. NYS Dorm Auth Suppor 10/1/2020	D	Interest			Sold	08/23/18	M		
59. Rockland Cnty Genl Oblig Pub Ser C 5/1/2021	D	Interest			Sold	08/23/18	M		
60. NYC Hsg Develop Multi Fam Rev G 11/1/2020	A	Interest			Sold	01/11/18	L		
61. US Treasury Bill 3/16/2017	A	Interest	L	T					
62. Amazon Com Inc	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
63.					Buy (add'l)	07/05/18	K		
64.					Sold (part)	11/13/18	K		
65. Clearbridge Large Cap GRT ETF	A	Dividend			Sold	09/05/18	J		
66. Lululemon Athletica Inc		None			Sold	11/13/18	J		
67. Tucows Inc		None			Sold (part)	08/03/18	J		
68.					Sold	08/08/18	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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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

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69. BOFI Hldg Inc		None			Sold	08/03/18	J		
70. Ishares Russell Top 200 G ETF	B	Dividend			Sold (part)	09/05/18	K		
71.					Sold	11/13/18	K		
72. The Financial Sel Sect SPDR Fd	A	Dividend			Sold (part)	06/05/18	J		
73.					Sold	09/05/18	J		
74. Metropolitan Trans Auth NY Rev 11/15/2021	C	Interest			Sold (part)	08/23/18	L		
75.					Sold	12/20/18	L		
76. Wappingers Cent Sch Dist NY 12/01/2025	B	Interest			Sold	07/23/18	M		
77. Vanguard Mega Cap Growth ETF	A	Dividend			Sold	08/08/18	J		
78. Morgan Stanley	A	Dividend			Sold	12/20/18	J		
79. Chicago Ill 1/1/2023	C	Interest			Sold	10/29/18	L		
80. Dunkirk NY 3/15/2031	A	Interest	M	T					
81. Monroe Cnty NY 7/1/2033	D	Interest			Sold (part)	09/27/18	K		
82.					Sold	11/14/18	M		
83. NY ST Urban Dev Corp Rev A 3/15/2034	B	Interest			Sold	11/16/18	M		
84. Metropolitan Tran Auth Trans Rev Ref B 11/15/2030	C	Interest			Sold	11/14/18	M		
85. Triborough Bridge Ref B 11/15/2025	C	Interest			Sold	11/16/18	M		

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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

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86. Lord Abbett Ultra Short Bd A	A	Dividend			Buy	08/08/18	L		
87.					Buy (add'l)	09/07/18	M		
88.					Sold (part)	08/15/18	L		
89.					Sold (part)	10/03/18	M		
90.					Sold	10/03/18	L		
91. United States Treasury Bill 7/5/18	A	Interest	M	T	Buy	04/02/18	M		
92. European Monetary Unit Savings Dep	A	Interest	J	T	Buy	05/29/18	J		
93. Time Warner Inc	A	Dividend	J	T	Buy	06/11/18	J		
94. US Treasury Bill Matures 10/11/18	A	Interest	M	T	Buy	07/09/18	M		
95. US Treasury Bill Matures 11/15/18	A	Interest	L	T	Buy	08/13/18	L		
96. US Treasury Bill Matures 3/28/19	A	Interest	L	T	Buy	12/24/18	L		
97. US Treasury Bill Matures 1/17/19	A	Interest	M	T	Buy	10/15/18	M		
98. US Treasury Bill Matures 4/11/19	A	Interest	M	T	Buy	10/09/18	M		
99. Lions Gate Entertainment Corp	A	Dividend			Buy	01/03/18	J		
100.					Sold	08/08/18	J		
101. Clearbridge Dividend Strat A	A	Dividend			Buy	01/03/18	K		
102.					Sold	11/13/18	K		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103. US Treasury Bill 7/5/18	A	Interest	N	T	Buy	04/09/18	N		
104. Yonkers NY Serial Genl Oblig Ser A 9/1/24	A	Interest	K	T	Buy	06/07/18	K		
105. Discovery Inc Ser A	A	Dividend	K	T	Buy	06/13/18	K		
106.					Buy (add'l)	06/13/18	J		
107. NYC Mun Water 6/15/23	B	Interest			Buy	08/23/18	M		
108.					Sold	11/14/18	M		
109. NYC Gen Oblig Ser C 8/1/22	B	Interest			Buy	08/23/18	M		
110.					Sold	11/14/18	M		
111. NYC Gen Oblig Ser B-1 8/1/22	B	Interest			Buy	08/24/18	M		
112.					Sold	11/14/18	M		
113. US Treasury Bill 10/11/18	A	Interest	M	T	Buy	07/09/18	M		
114. US Treasury Bill 1/17/19	A	Interest	M	T	Buy	10/15/18	M		
115. US Treasury Bill 4/11/19	A	Interest	M	T	Buy	10/09/18	M		
116. Utility Debt Secur Auth 12/15/25	A	Interest	M	T	Buy	11/19/18	M		
117. Suffolk Cnty 10/15/22	A	Interest	M	T	Buy	11/19/18	M		
118. NYS Dorm Auth School 10/1/25	A	Interest	M	T	Buy	11/19/18	M		
119. Bridgehampton NY UFSD 3/15/24	A	Interest	M	T	Buy	11/19/18	M		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

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. Bay Shore NY UFSD 1/15/24	A	Interest	L	T	Buy	11/19/18	L		
121. Suffolk Cnty NY Reg A 2/1/25	A	Interest	M	T	Buy	11/26/18	M		
122. Sales Tax Asset 10/15/26	A	Interest	M	T	Buy	11/26/18	M		
123. NYS Urban Develop 3/15/26	A	Interest	M	T	Buy	11/26/18	M		
124. Nassau Cnty Genl Oblig Reg A 1/1/28	A	Interest	L	T	Buy	11/26/18	L		
125. Battery Park Auth Rev A 11/1/28	A	Interest	L	T	Buy	11/26/18	L		
126. Yonkers NY 9/1/24	A	Interest	L	T	Buy	12/03/18	L		
127. Triborough Bridge Tunnel ref B 11/15/24	A	Interest	L	T	Buy	12/03/18	L		
128. Rensselaer Cnty 8/1/27	A	Interest	K	T	Buy	12/03/18	K		
129. US Treasury Bill 3/28/19	A	Interest	N	T	Buy	12/24/18	N		
130. AT&T Inc	A	Dividend	J	T	Buy	06/11/18	J		
131.					Sold (part)	08/03/18	J		
132.					Sold (part)	11/13/18	J		
133. Axos Finl Inc	A	Dividend			Buy	01/06/18	J		
134.					Sold	11/13/18	J		
135. Invesco S&P 500 Equal Weight	A	Interest			Buy	01/05/18	L		
136.					Sold	08/03/18	L		

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

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)
137. American Fundamental Inv	A	Dividend			Buy	01/03/18	K		
138.					Sold (part)	01/04/18	J		
139.					Sold	03/06/18	K		
140. Fidelity 500 Index Premium	A	Dividend			Buy	01/10/18	L		
141.					Sold	03/06/18	L		
142. Fidelity T/M Inx Premium	A	Dividend			Buy	01/10/18	L		
143.					Sold	03/06/18	L		

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	
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FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting	Date of Report
Berman, Richard M.	06/27/2019

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

Original report did not include information on Triborough Bridge Ref B 11/15/2025. It has been added to Line 87.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Berman, Richard M.

Date of Report

06/27/2019

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
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