

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 06/20/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address United States Courthouse 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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; commencing 1/1/10)
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.	

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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. 2010	NYU School of Law-teaching	\$20,000.00
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.)*

<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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Brk Act #1 Fidelity Worldwide [FWWFX]	A	Dividend			Sold	03/31/10	L	A	
2. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	A	Dividend	N	T					
3. Brk Act #1 Fidelity Cash Reserves [FDRXX]	D	Dividend	O	T					
4. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	D	Dividend	M	T					
5. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	C	Dividend	M	T					
6. Brk Act #1 Fidelity Balanced [FBALX]	D	Dividend	M	T					
7. Fidelity Export & Multinat'l [FEXPX]	A	Dividend			Sold	03/31/10	K	A	
8. Brk Act #4 First Eagle Overseas Fund Class A	A	Dividend	J	T					
9. Brk Act #4 LM [SB] Appreciation Fd CL A (Part VIII)	B	Dividend	M	T					
10. Brk Act #4 LM [SB] Large Cap Grwth FD CL A		None	M	T	Redeemed (part)	06/15/10	K	A	
11. Brk Act #4 Wstrn Asset NY Muni Money Mkt Fd CL A	A	Interest	N	T					
12. Brk Act #4 Wstrn Asset Money Market Fd CL A	A	Interest			Redeemed	04/27/10	L	A	
13. Brk Act #4 Uts Nuveen TE UT TR #61 M NY INSD S61 (Part VIII)	A	Dividend			Sold	02/15/10	J	A	
14. Brk Act #4 VFH	A	Dividend	J	T					
15. Brk Act #4 SCD	B	Dividend	K	T	Sold (part)	12/21/10	K	A	
16. Brk Act #4 NYC G/O Scr G 3.125/10 [4/10]	B	Interest			Redeemed	08/02/10	K	A	
17. Brk Act #4 Nassau Co Ser C 5.25/10	B	Interest			Redeemed	01/01/10	L	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
18. Brk Act #4 NYS Dorm AU Staten Isl U Hosp 4.9/10	B	Interest			Redeemed	07/01/10	K	A	
19. Brk Act #4 NYC G/O SER C 4.375/11	D	Interest	M	T					
20. Brk Act #4 NYS ENV FACS 5/11	A	Interest			Redeemed	06/25/10	J	A	
21. Brk Act #4 NYNY Ser F 5.125/11	A	Interest	J	T					
22. Brk Act #4 Erie Cnty NY Pub Impt Ser A 5/11 (Part VIII)	B	Interest	K	T					
23. Brk Act #4 NYNY Ser A Prefund 5.25/11	A	Interest	K	T	Spinoff (from line 52)				
24. Brk Act #4 NY NY Ser J 4/12	A	Interest			Distributed	04/23/10	L		Part VIII
25. Brk Act #4 NY NY ETM Ser J 4/12	A	Interest	J	T	Spinoff (from line 24)				
26. Brk Act #4 NY NY Ser J 4/12	B	Interest	K	T	Spinoff (from line 24)				
27. Brk Act #4 NY NY Ser J FGIC-TCRS 5.35/12	A	Interest			Redeemed	01/21/10	J	A	
28. Brk Act #4 NYS Dorm Auth Upstate Comm Coll Rev B 5/13 [/10]	B	Interest			Redeemed	07/01/10	K	A	
29. Brk Act #4 NY NY RFDG Ser B-FGIC TCRS 5.75/13	B	Interest	K	T					
30. Brk Act #4 Medina NY Cent Sc Dist 4.75/13	A	Interest	K	T					
31. Brk Act #4 NYS Dorm AU RFDG SECD HOSP NYDTWN 5.2/14	B	Interest	K	T					
32. Brk Act #4 NYS Dorm AU Revs Third Gen Res 5.25/13	B	Interest	K	T					
33. Brk Act #4 NYS Dorm AU Revs Lutheran Med 5/13	B	Interest			Distributed	04/23/10	L		Part VIII
34. Brk Act #4 NYC GO Ser J 4/13	B	Interest	L	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

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

3. Value Method Codes

(See Column C2)

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Brk Act #4 Buffalo NY Ser B 5.375/13 [12]	B	Interest	K	T					
36. Brk Act #4 Nassau Cty IFA Ser A 5/13	A	Interest	K	T					
37. Brk Act #4 NYC GO Ser A 4/13	C	Interest	L	T					
38. Brk Act #4 Camden NY Cent Sch DIST SER A 4.5/14	B	Interest	K	T					
39. Brk Act #4 NYS DORM AU Iona Coll 4.3/14	B	Interest	K	T					
40. Brk Act #4 Sharon Springs MunWtr 4.8/14	A	Interest			Distributed	04/23/10	K		Part VIII
41. Brk Act #4 NYS Dorm Au Colgate 4.625/14	A	Interest			Redeemed	07/01/10	J	A	
42. Brk Act #4 NYC Ser A G/O 4.3/14	B	Interest	K	T					
43. Brk Act #4 NYS Dorm Au Lease Rev Mun Hlth 5.5/14 [11]	A	Interest	J	T					
44. Brk Act #4 Buffalo NY Gen ImpSer A 4.7/14 [11]	C	Interest	L	T					
45. Brk Act #4 NYC GO Ser I 4.5/14[13]	B	Interest	K	T					
46. Brk Act #4 West Seneca Cent Sch 4.125/14	C	Interest	L	T					
47. Brk Act #4 NYC GO Ser G 4/14	C	Interest	L	T					
48. Brk Act #4 No Babylon Sch Dt 5.25/15	B	Interest	K	T					
49. Brk Act #4 Buffalo NY Ser C 4.7/15	B	Interest	K	T	Spinoff (from line 44)				
50. Brk Act #4 NYC REF Ser B G/O 5.75/15	C	Interest	L	T					
51. Brk Act #4 LI Pwr Au[LIPA] 4/15	A	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

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P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Brk Act #4 NYNY Ser A 5.25/15	A	Interest			Redeemed	11/08/10	J	A	
53. Brk Act #4 MTA 5.25/15	A	Interest			Distributed	04/23/10	L		Part VIII
54. Brk Act#4 NYC Trans Fin 4/15	B	Interest	L	T					
55. Brk Act #4 NYS Dorm Pres 4.2/15 [14]	B	Interest	K	T					
56. Brk Act #4 NYC Ser C 5.25/15 [14]	B	Interest	K	T					
57. Brk Act #4 NYC Health & Hosp 4.55/16 [12]	B	Interest	L	T					
58. Brk Act #4 NYC G/O Ser H 5.25/16 [11]	B	Interest	K	T					
59. Brk Act #4 NYS Dorm Au St Johns U 5/16	B	Interest	K	T					
60. Brk Act #4 NY NY Ser J 5.25/16	C	Interest	L	T					
61. Brk act #4 NYS Env Fac Corp St Clean Wtr 5/17	B	Interest	K	T					
62. Brk Act #4 NY NY RFDG Ser J 5/17	A	Interest			Redeemed	01/21/10	J	A	
63. Brk Act #4 NYC Ser G G/O 5/17	C	Interest	L	T					
64. Brk Act #4 NYC GO Ser O 5/17 [15]	B	Interest	L	T					
65. Brk Act #4 NYC SER B Gen Obl 5.375/18 [08]	B	Interest			Redeemed	08/02/10	K	A	
66. Brk Act #4 NYS Dorm Au St Josephs H 5.25/18	A	Interest			Distributed	04/23/10	K		Part VIII
67. Brk Act #4 Binghamtom 4.25/18[16]	D	Interest			Redeemed	08/19/10	M	D	
68. Brk Act #4 NYS Thru H & B 5/18[15]	C	Interest	L	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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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

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3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
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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.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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69. Brk Act #4 NYC GO Ser AI 5/18[17]	D	Interest	M	T					
70. Brk Act #4 NY NY RFDG Ser I 5/18 [14]	C	Interest	L	T					
71. Brk Act #4 NYC TFA FUT TAX FGIC SECD Ser E 5.25/18	C	Interest	L	T					
72. Brk Act #4 New York State Dorm Auth St Pers Income Tax 4/18	D	Interest			Redeemed	08/31/10	M	D	
73. Brk Act #4 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	L	T					
74. Brk Act #4 City MWF AU WKS Sys Rev Ser D 0/18	A	Interest			Redeemed	08/19/10	L	E	
75. Brk Act #4 LIPA NY Elec Sys Ser E 5/18	B	Interest	L	T					
76. Brk Act #4 NYS Thruway Au Gen Rev Ser H 5/19	C	Interest	L	T					
77. Brk Act #4 PR Muni Ser C 5.25/19	B	Interest	L	T	Buy	03/04/10	L		
78. Brk Act #4 Buffalo Ser C 5/19	B	Interest	L	T					
79. Brk Act #4 MTA Ser A 5.5/19[12]	D	Interest	M	T					
80. Brk Act #4 NYC TFA Ser AI 5/19[16]	C	Interest	L	T					
81. Brk Act #4 Middletown NY 4.125/19[16]	C	Interest			Redeemed	08/31/10	L	A	
82. Brk Act #4 PR Sales Tax 4.625/19	D	Interest	M	T					
83. Brk Act #4 NYS Env FACS Corp St Clean WTR & Drinking 5.25/20	D	Interest	M	T					
84. Brk Act #4 Metro T SPTN Au NY TSPN REV SER A A5/20	B	Interest	L	T					
85. Brk Act #4 NYC GO Ser A 5/20[16]	D	Interest	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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3. Value Method Codes
(See Column C2)

T = Cash Market

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	(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)
86. Brk Act#4 LIPA Ser E 5/20 [16]	B	Interest	L	T					
87. Brk Act #4 NJ High Ed 4.5/21	A	Interest	L	T	Buy	06/22/10	L		
88. Brk Act #4 NY Gen Oblig BDS-G1 5.5/21	B	Interest	K	T					
89. Brk Act #4 NYC Trans F/A Rev 5.25/21	B	Interest	K	T					
90. Brk Act #4 NYS Pers Inc Tax 5/21[16]	C	Interest	L	T					
91. Brk Act #4 New York NY Ser A CIFG TCRS 5/21	D	Interest	L	T					
92. Brk Act #4 Metro Tras Au NY Rev RFDG Ser A 5.125/21	C	Interest	L	T					
93. Brk Act #4 New York City G/O Ser A 5/22	C	Interest	L	T					
94. Brk Act #4 Monroe Cnty IDA 5/22	B	Interest	K	T					
95. Brk Act #4 NJ State Trans 5.25/23	A	Interest	L	T	Buy	11/30/10	L		
96. Brk Act #4 NJ Economic Dev Au Sch Constr Ser O 5.23/23	C	Interest	L	T					
97. Brk Act #4 PR Elec Pwr Rev RFDG Ser PP 5/23	B	Interest	L	T					
98. Brk Act #4 NY Gen Oblig BDS E 6/23	C	Interest	L	T					
99. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	B	Interest	L	T					
100. Brk Act #4 NJ State Trans 5/24	A	Int./Div.	K	T	Buy	11/08/10	K		
101. Brk Act #4 New York St Dorm Au Revs Hosp FHA Insd A 6.45/24	D	Interest	L	T					
102. Brk Act #4 Triborough B & T AU 5/24	C	Interest	L	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Castel, P .Kevin

Date of Report

06/20/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Brk Act #4 PR Elec 4.625/25	A	Interest	K	T	Buy	11/08/10	K		
104. Brk Act #4 NYS Thwy Au 2d HWY & BDG 5/25 (Part VIII)	D	Interest	L	T					
105. Brk Act #4 NYC MWA Wtr & Swr Rev Ser C 5/25 (Part VIII)	C	Interest	M	T					
106. Brk Act #4 NY NY IDA Rev AGC 6.125/29	A	Interest	J	T					
107. Brk Act #4 Ishares TR Dow Jones Select Div Index Fund	A	Dividend	K	T					
108. Brk Act #4 XLF	A	Dividend	K	T					
109. Brk Act #4 NYS Thwry 5.1/10	B	Interest			Redeemed	04/01/10	K	A	
110. Brk Act #4 NYC G/O Ser C 4.375/11					Merged (with line 19)				
111. Brk Act #4 MTA FRDG Ser A 4.3/13	B	Interest	L	T					
112. Brk Act #4 NYS Dorm Columbia U. 5.25/13	B	Interest	K	T					
113. Brk Act #4 New York City G/O Ser E 5/14	B	Interest	L	T					
114. Brk Act #4 New Rochelle Sch Dist Ser A FSA 5/14					Merged (with line 115)				
115. Brk Act #4 New Rochelle NY School 5.25/14 [11]	B	Interest	K	T					
116. Brk Act #4 NYC Ref Ser B G/O 5.75/15					Merged (with line 50)				
117. Brk Act #4 NYC Health & Hosp 4.55/16 [12]				T	Merged (with line 57)				
118. Brk Act #4 Hudson Falls NY Cent Sch 4.625/16[11]	B	Interest	K	T					
119. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Castel, P .Kevin

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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. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	L	T					
121. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
122. Brk Act #4 New York NY RFDG Ser H 5/16	B	Interest	L	T					
123. Brk Act #4 Port Auth 125th Ser 5/18	B	Interest	K	T					
124. Brk Act # 4 MTA 4.5/18	B	Interest	K	T					
125. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
126. Brk Act #4 Binghamton NY 4.25/18[16]					Merged (with line 67)				
127. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
128. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	L	T					
129. Brk Act #4 Port Au NY & NJ 4.5/25	C	Interest	L	T					
130. Brk Act #4 Western Asset Mkt FD	A	Dividend			Redeemed	04/27/10	J	A	
131. Brk Act #4 LM[SB] Large Cap Growth Fund CL A					Merged (with line 10)				
132. Brk Act #4 SB Money Funds Cash Port CLA	A	Dividend			Redeemed	04/27/10	J	A	
133. Brk Act #4 SB Muni NY Mkt Port CL A					Merged (with line 11)				
134. Brk Act #4 ADP	A	Dividend	J	T					
135. Brk Act #4 BR	A	Dividend	J	T					
136. Brk Act #4 BBY	A	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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Name of Person Reporting

Castel, P .Kevin

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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)
137. Brk Act #4 Citigroup	A	Dividend	J	T					
138. Brk Act #4 GE	A	Dividend	J	T					
139. Brk Act #4 IBM	A	Dividend	J	T					
140. Brk Act #4 KMB	A	Dividend	J	T					
141. Brk Act #4 KSS		None	J	T					
142. Brk Act #4 MDT	A	Dividend	J	T					
143. Brk Act #4 MSFT	A	Dividend	J	T					
144. Brk Act #4 PWC	A	Dividend	K	T					
145. Brk Act #4 WMT	A	Dividend	J	T					
146. Brk Act #4 WAG	A	Dividend	J	T					
147. Brk Act #4 WFC	A	Dividend	J	T					
148. Brk Act #7 Citibank NA Bank Dep Program	A	Interest	K	T					
149. Brk Act # 7 PWC	A	Dividend	J	T					
150. Brk Act #7 RIT	A	Dividend	J	T					
151. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	C	Interest	L	T					
152. Brk Act #9 SB (Western Asset)MUNI NY MNY MKT PORT CL A	A	Interest							
153. Brk Act #9 EEM	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)A = \$1,000 or less
F = \$50,001 - \$100,0002. Value Codes
(See Columns C1 and D3)J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,0003. Value Method Codes
(See Column C2)Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Castel, P .Kevin

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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)
154. Brk Act #9 PWC	A	Dividend	M	T					
155. Brk Act #9 PZI	A	Dividend	J	T					
156. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	K	T					
157. Brk Act #9 New York City MWF Au W & S Ser D O CPN 0/18	A	Interest	L	T					
158. Brk Act #9 NYS G/O BDS-A 0/19	A	Interest	K	T					
159. Brk Act #9 PR Comm H & T 0/20	A	Interest	K	T					
160. Brk Act #9 XLF	A	Dividend	J	T					
161. Brk Act #12[PHX Oakhurst Strat Alloc FD A]VRTS Balance Fd A	A	Dividend	J	T					
162. Brk Act #12 PHX Oakhurst Inc&Growth FD A] VRTS Tactical Fd A	A	Dividend	J	T					
163. Brk Act #13 Fidelity Divers Intl [FDIVX]	D	Dividend			Sold	11/05/10	M	D	
164. Brk Act #13 Fidelity Equity Inc[FEQIX]	F	Dividend	O	T					
165. Brk Act #13 Fidelity Inter Bond [FTHRXX]	E	Interest	N	T	Sold (part)	11/05/10	L	C	
166. Brk Act #13 Fidelity Export & Multinat'l [FEXPX]	B	Dividend			Sold	11/05/10	L	A	
167. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	J	T					
168. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	D	Interest	J	T					
169. Brk Act #13 Fidelity Disciplined Equity [FDEQX]	A	Dividend			Sold	11/05/10	L	A	
170. Brk Act #13 Fidelity Value [FDVLX]	B	Dividend			Sold	11/05/10	L	A	

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Castel, P .Kevin

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. Bank Act #14 Chase Accounts		None	K	T					
172. Brk Act #15 Fidelity Smart Account	A	Interest	J	T	Buy	03/31/10	K		

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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Castel, P .Kevin

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

PartVII: INVESTMENTS AND TRUSTS

Brk Act #1: a percentage of the assets in these accounts were transferred to now [REDACTED] per agreement; the balanced was transferred to a new individual account with the same designation "Brk Act #1". Brk Act #13: a percentage of the assets in these accounts were transferred to now [REDACTED] per agreement. A percentage of the assets reported in Brk Act # 2 and #6 on prior years' FDRs were transferred to now [REDACTED] per agreement with the balance transferred into Brk Act #4.

Brk Act # 10 from 2009 FDR. These assets are under the control of [REDACTED] living in hoschold and are no longer reportable.

Part VII lines 23,33,40,53 and 66_ of 2010 FDR. These assets were transferred to now [REDACTED] per agreement.

Page 4, line 17 of 2009 FDR. Brk Act #2 NYST AU LOC HGHWY & BRIDGE 5/09. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 4/1/09 and is therfore omitted from the 2010 FDR.

Page 5, line 18 of 2009 FDR. Brk Act #2 NYS Dorm Au Revs New Island Hosp 5.2/09.. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 7/1/09 and is therfore omitted from the 2010 FDR.

Page 5, line 30 of 2009 FDR. Brk Act #2 NYC G/O Ser H 5.25/13 (09). This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 3/16/09 and is therfore omitted from the 2010 FDR.

Page 10, line 114 of 2009 FDR. Brk Act #4 NYS Dorm Mtg Hosp 4.95/08. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 8/1/08 and is therfore omitted from the 2010 FDR.

Page 11, line 118 of 2008 FDR. Brk Act #4 NYC RFDG Ser H, subser H6 float/12. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 3/17/08 and is therfore omitted from the 2010 FDR.

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Name of Person Reporting

Castel, P .Kevin

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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 WILFULLY 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

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 06/20/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address United States Courthouse 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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; commencing 1/1/10)
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.	

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Name of Person Reporting

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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. 2010	NYU School of Law-teaching	\$20,000.00
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.)*

<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.)*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.		

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Name of Person Reporting

Castel, P .Kevin

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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 Worldwide [FWWFX]	A	Dividend			Sold	03/31/10	L	A	
2. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	A	Dividend	N	T					
3. Brk Act #1 Fidelity Cash Reserves [FDRXX]	D	Dividend	O	T					
4. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	D	Dividend	M	T					
5. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	C	Dividend	M	T					
6. Brk Act #1 Fidelity Balanced [FBALX]	D	Dividend	M	T					
7. Fidelity Export & Multinat'l [FEXPX]	A	Dividend			Sold	03/31/10	K	A	
8. Brk Act #4 First Eagle Overseas Fund Class A	A	Dividend	J	T					
9. Brk Act #4 LM [SB] Appreciation Fd CL A (Part VIII)	B	Dividend	M	T					
10. Brk Act #4 LM [SB] Large Cap Grwth FD CL A		None	M	T	Redeemed (part)	06/15/10	K	A	
11. Brk Act #4 Wstrn Asset NY Muni Money Mkt Fd CL A	A	Interest	N	T					
12. Brk Act #4 Wstrn Asset Money Market Fd CL A	A	Interest			Redeemed	04/27/10	L	A	
13. Brk Act #4 Uts Nuveen TE UT TR #61 M NY INSD S61 (Part VIII)	A	Dividend			Sold	02/15/10	J	A	
14. Brk Act #4 VFH	A	Dividend	J	T					
15. Brk Act #4 SCD	B	Dividend	K	T	Sold (part)	12/21/10	K	A	
16. Brk Act #4 NYC G/O Ser G 3.125/10 [4/10]	B	Interest			Redeemed	08/02/10	K	A	
17. Brk Act #4 Nassau Co Ser C 5.25/10	B	Interest			Redeemed	01/01/10	L	A	

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Castel, P .Kevin

Date of Report

06/20/2011

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)
18. Brk Act #4 NYS Dorm AU Staten Isl U Hosp 4.9/10	B	Interest			Redeemed	07/01/10	K	A	
19. Brk Act #4 NYC G/O SER C 4.375/11	D	Interest	M	T					
20. Brk Act #4 NYS ENV FACS 5/11	A	Interest			Redeemed	06/25/10	J	A	
21. Brk Act #4 NYNY Ser F 5.125/11	A	Interest	J	T					
22. Brk Act #4 Erie Cnty NY Pub Impt Ser A 5/11 (Part VIII)	B	Interest	K	T					
23. Brk Act #4 NYNY Ser A Prefund 5.25/11	A	Interest	K	T	Spinoff (from line 52)				
24. Brk Act #4 NY NY Ser J 4/12	A	Interest			Distributed	04/23/10	L		Part VIII
25. Brk Act #4 NY NY ETM Ser J 4/12	A	Interest	J	T	Spinoff (from line 24)				
26. Brk Act #4 NY NY Ser J 4/12	B	Interest	K	T	Spinoff (from line 24)				
27. Brk Act #4 NY NY Ser J FGIC-TCRS 5.35/12	A	Interest			Redeemed	01/21/10	J	A	
28. Brk Act #4 NYS Dorm Auth Upstate Comm Coll Rev B 5/13 [10]	B	Interest			Redeemed	07/01/10	K	A	
29. Brk Act #4 NY NY RFDG Ser B-FGIC TCRS 5.75/13	B	Interest	K	T					
30. Brk Act #4 Medina NY Cent Sc Dist 4.75/13	A	Interest	K	T					
31. Brk Act #4 NYS Dorm AU RFDG SECD HOSP NYDTWN 5.2/14	B	Interest	K	T					
32. Brk Act #4 NYS Dorm AU Revs Third Gen Res 5.25/13	B	Interest	K	T					
33. Brk Act #4 NYS Dorm AU Revs Lutherern Med 5/13	B	Interest			Distributed	04/23/10	L		Part VIII
34. Brk Act #4 NYC GO Ser J 4/13	B	Interest	L	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Castel, P. Kevin

Date of Report

06/20/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Brk Act #4 Buffalo NY Ser B 5.375/13 [12]	B	Interest	K	T					
36. Brk Act #4 Nassau Cty IFA Ser A 5/13	A	Interest	K	T					
37. Brk Act #4 NYC GO Ser A 4/13	C	Interest	L	T					
38. Brk Act #4 Camden NY Cent Sch DIST SER A 4.5/14	B	Interest	K	T					
39. Brk Act #4 NYS DORM AU Iona Coll 4.3/14	B	Interest	K	T					
40. Brk Act #4 Sharon Springs MunWtr 4.8/14	A	Interest			Distributed	04/23/10	K		Part VIII
41. Brk Act #4 NYS Dorm Au Colgate 4.625/14	A	Interest			Redeemed	07/01/10	J	A	
42. Brk Act #4 NYC Ser A G/O 4.3/14	B	Interest	K	T					
43. Brk Act #4 NYS Dorm Au Lease Rev Mun Hlth 5.5/14 [11]	A	Interest	J	T					
44. Brk Act #4 Buffalo NY Gen ImpSer A 4.7/14 [11]	C	Interest	L	T					
45. Brk Act #4 NYC GO Ser I 4.5/14[13]	B	Interest	K	T					
46. Brk Act #4 West Seneca Cent Sch 4.125/14	C	Interest	L	T					
47. Brk Act #4 NYC GO Ser G 4/14	C	Interest	L	T					
48. Brk Act #4 No Babylon Sch Dt 5.25/15	B	Interest	K	T					
49. Brk Act #4 Buffalo NY Ser C 4.7/15	B	Interest	K	T	Spinoff (from line 44)				
50. Brk Act #4 NYC REF Ser B G/O 5.75/15	C	Interest	L	T					
51. Brk Act #4 LI Pwr Au[LIPA] 4/15	A	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Castel, P. Kevin

Date of Report

06/20/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Brk Act #4 NYNY Ser A 5.25/15	A	Interest			Redeemed	11/08/10	J	A	
53. Brk Act #4 MTA 5.25/15	A	Interest			Distributed	04/23/10	L		Part VIII
54. Brk Act#4 NYC Trans Fin 4/15	B	Interest	L	T					
55. Brk Act #4 NYS Dorm Pres 4.2/15 [14]	B	Interest	K	T					
56. Brk Act #4 NYC Ser C 5.25/15 [14]	B	Interest	K	T					
57. Brk Act #4 NYC Health & Hosp 4.55/16 [12]	B	Interest	L	T					
58. Brk Act#4 NYC G/O Ser H 5.25/16 [11]	B	Interest	K	T					
59. Brk Act #4 NYS Dorm Au St Johns U 5/16	B	Interest	K	T					
60. Brk Act #4 NY NY Ser J 5.25/16	C	Interest	L	T					
61. Brk act #4 NYS Env Fac Corp St Clean Wtr 5/17	B	Interest	K	T					
62. Brk Act #4 NY NY RFDG Ser J 5/17	A	Interest			Redeemed	01/21/10	J	A	
63. Brk Act #4 NYC Ser G G/O 5/17	C	Interest	L	T					
64. Brk Act #4 NYC GO Ser O 5/17 [15]	B	Interest	L	T					
65. Brk Act #4 NYC SER B Gen Obl 5.375/18 [08]	B	Interest			Redeemed	08/02/10	K	A	
66. Brk Act #4 NYS Dorm Au St Josephs H 5.25/18	A	Interest			Distributed	04/23/10	K		Part VIII
67. Brk Act #4 Binghamtom 4.25/18[16]	D	Interest			Redeemed	08/19/10	M	D	
68. Brk Act #4 NYS Thru H & B 5/18[15]	C	Interest	L	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

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Name of Person Reporting

Castel, P .Kevin

Date of Report

06/20/2011

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)
69. Brk Act #4 NYC GO Ser A1 5/18[17]	D	Interest	M	T					
70. Brk Act #4 NY NY RFDG Ser I 5/18 [14]	C	Interest	L	T					
71. Brk Act #4 NYC TFA FUT TAX FGIC SECD Ser E 5.25/18	C	Interest	L	T					
72. Brk Act #4 New York State Dorm Auth St Pers Income Tax 4/18	D	Interest			Redeemed	08/31/10	M	D	
73. Brk Act #4 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	L	T					
74. Brk Act #4 City MWF AU WKS Sys Rev Ser D 0/18	A	Interest			Redeemed	08/19/10	L	E	
75. Brk Act #4 LIPA NY Elec Sys Ser E 5/18	B	Interest	L	T					
76. Brk Act #4 NYS Thruway Au Gen Rev Ser H 5/19	C	Interest	L	T					
77. Brk Act #4 PR Muni Ser C 5.25/19	B	Interest	L	T	Buy	03/04/10	L		
78. Brk Act #4 Buffalo Ser C 5/19	B	Interest	L	T					
79. Brk Act #4 MTA Ser A 5.5/19[12]	D	Interest	M	T					
80. Brk Act #4 NYC TFA Ser A1 5/19[16]	C	Interest	L	T					
81. Brk Act #4 Middletown NY 4.125/19[16]	C	Interest			Redeemed	08/31/10	L	A	
82. Brk Act #4 PR Sales Tax 4.625/19	D	Interest	M	T					
83. Brk Act #4 NYS Env FACS Corp St Clean WTR & Drinking 5.25/20	D	Interest	M	T					
84. Brk Act #4 Metro T SPTN Au NY TSPN REV SER A A5/20	B	Interest	L	T					
85. Brk Act #4 NYC GO Ser A 5/20[16]	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

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

H2 = 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

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Castel, P. Kevin

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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)
86. Brk Act#4 LIPA Ser E 5/20 [16]	B	Interest	L	T					
87. Brk Act #4 NJ High Ed 4.5/21	A	Interest	L	T	Buy	06/22/10	L		
88. Brk Act #4 NY Gen Oblig BDS-GI 5.5/21	B	Interest	K	T					
89. Brk Act #4 NYC Trans F/A Rev 5.25/21	B	Interest	K	T					
90. Brk Act #4 NYS Pers Inc Tax 5/21[16]	C	Interest	L	T					
91. Brk Act #4 New York NY Ser A CIFG TCRS 5/21	D	Interest	L	T					
92. Brk Act #4 Metro Tras Au NY Rev RFDG Ser A 5.125/21	C	Interest	L	T					
93. Brk Act #4 New York City G/O Ser A 5/22	C	Interest	L	T					
94. Brk Act #4 Monroe Cnty IDA 5/22	B	Interest	K	T					
95. Brk Act #4 NJ State Trans 5.25/23	A	Interest	L	T	Buy	11/30/10	L		
96. Brk Act #4 NJ Economic Dev Au Sch Constr Ser O 5.23/23	C	Interest	L	T					
97. Brk Act #4 PR Elec Pwr Rev RFDG Ser PP 5/23	B	Interest	L	T					
98. Brk Act #4 NY Gen Oblig BDS E 6/23	C	Interest	L	T					
99. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	B	Interest	L	T					
100. Brk Act #4 NJ State Trans 5/24	A	Int./Div.	K	T	Buy	11/08/10	K		
101. Brk Act #4 New York St Dorm Au Revs Hosp FHA Insd A 6.45/24	D	Interest	L	T					
102. Brk Act #4 Triborough B & T AU 5/24	C	Interest	L	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

S = Assessment
W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Castel, P. Kevin

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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.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Brk Act #4 PR Elec 4.625/25	A	Interest	K	T	Buy	11/08/10	K		
104. Brk Act #4 NYS Thwy Au 2d HWY & BDG 5/25 (Part VIII)	D	Interest	L	T					
105. Brk Act #4 NYC MWA Wtr & Swr Rev Ser C 5/25 (Part VIII)	C	Interest	M	T					
106. Brk Act #4 NY NY IDA Rev AGC 6.125/29	A	Interest	J	T					
107. Brk Act #4 Ishares TR Dow Jones Select Div Index Fund	A	Dividend	K	T					
108. Brk Act #4 XLF	A	Dividend	K	T					
109. Brk Act #4 NYS Thrwy 5.1/10	B	Interest			Redeemed	04/01/10	K	A	
110. Brk Act #4 NYC G/O Ser C 4.375/11					Merged (with line 19)				
111. Brk Act #4 MTA FRDG Ser A 4.3/13	B	Interest	L	T					
112. Brk Act #4 NYS Dorm Columbia U. 5.25/13	B	Interest	K	T					
113. Brk Act #4 New York City G/O Ser E 5/14	B	Interest	L	T					
114. Brk Act #4 New Rochelle Sch Dist Ser A FSA 5/14					Merged (with line 115)				
115. Brk Act #4 New Rochelle NY School 5.25/14 [11]	B	Interest	K	T					
116. Brk Act #4 NYC Ref Ser B G/O 5.75/15					Merged (with line 50)				
117. Brk Act #4 NYC Health & Hosp 4.55/16 [12]				T	Merged (with line 57)				
118. Brk Act #4 Hudson Falls NY Cent Sch 4.625/16 [11]	B	Interest	K	T					
119. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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2. Value Codes
(See Columns C1 and D3)

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3. Value Method Codes
(See Column C2)

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U = Book Value

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R = Cost (Real Estate Only)
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C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Castel, P .Kevin

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	L	T					
121. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
122. Brk Act #4 New York NY RFDG Ser H 5/16	B	Interest	L	T					
123. Brk Act #4 Port Auth 125th Ser 5/18	B	Interest	K	T					
124. Brk Act # 4 MTA 4.5/18	B	Interest	K	T					
125. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
126. Brk Act #4 Binghamton NY 4.25/18[16]					Merged (with line 67)				
127. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
128. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	L	T					
129. Brk Act #4 Port Au NY & NJ 4.5/25	C	Interest	L	T					
130. Brk Act #4 Western Asset Mkt FD	A	Dividend			Redeemed	04/27/10	J	A	
131. Brk Act #4 LM[SB] Large Cap Growth Fund CL A					Merged (with line 10)				
132. Brk Act #4 SB Money Funds Cash Port CLA	A	Dividend			Redeemed	04/27/10	J	A	
133. Brk Act #4 SB Muni NY Mkt Port CL A					Merged (with line 11)				
134. Brk Act #4 ADP	A	Dividend	J	T					
135. Brk Act #4 BR	A	Dividend	J	T					
136. Brk Act #4 BBY	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. Brk Act #4 Citigroup	A	Dividend	J	T					
138. Brk Act #4 GE	A	Dividend	J	T					
139. Brk Act #4 IBM	A	Dividend	J	T					
140. Brk Act #4 KMB	A	Dividend	J	T					
141. Brk Act #4 KSS		None	J	T					
142. Brk Act #4 MDT	A	Dividend	J	T					
143. Brk Act #4 MSFT	A	Dividend	J	T					
144. Brk Act #4 PWC	A	Dividend	K	T					
145. Brk Act #4 WMT	A	Dividend	J	T					
146. Brk Act #4 WAG	A	Dividend	J	T					
147. Brk Act #4 WFC	A	Dividend	J	T					
148. Brk Act #7 Citibank NA Bank Dep Program	A	Interest	K	T					
149. Brk Act # 7 PWC	A	Dividend	J	T					
150. Brk Act #7 RIT	A	Dividend	J	T					
151. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	C	Interest	L	T					
152. Brk Act #9 SB (Western Asset)MUNI NY MNY MKT PORT CL A	A	Interest							
153. Brk Act #9 EEM	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 \$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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. Brk Act #9 PWC	A	Dividend	M	T					
155. Brk Act #9 PZI	A	Dividend	J	T					
156. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	K	T					
157. Brk Act #9 New York City MWF Au W &S Ser D O CPN 0/18	A	Interest	L	T					
158. Brk Act #9 NYS G/O BDS-A 0/19	A	Interest	K	T					
159. Brk Act #9 PR Comm H & T 0/20	A	Interest	K	T					
160. Brk Act #9 XLF	A	Dividend	J	T					
161. Brk Act #12[PHX Oakhurst Strat Alloc FD A]VRTS Balance Fd A	A	Dividend	J	T					
162. Brk Act #12 PHX Oakhurst Inc&Growth FD A] VRTS Tactical Fd A	A	Dividend	J	T					
163. Brk Act #13 Fidelity Divers Intl [FDIVX]	D	Dividend			Sold	11/05/10	M	D	
164. Brk Act #13 Fidelity Equity Inc[FEQIX]	F	Dividend	O	T					
165. Brk Act #13 Fidelity Inter Bond [FTHRX]	E	Interest	N	T	Sold (part)	11/05/10	L	C	
166. Brk Act #13 Fidelity Export & Multinat'l [FEXPX]	B	Dividend			Sold	11/05/10	L	A	
167. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	J	T					
168. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	D	Interest	J	T					
169. Brk Act #13 Fidelity Disciplined Equity [FDEQX]	A	Dividend			Sold	11/05/10	L	A	
170. Brk Act #13 Fidelity Value [FDVLX]	B	Dividend			Sold	11/05/10	L	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

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

H2 =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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Castel, P .Kevin

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. Bank Act #14 Chase Accounts		None	K	T					
172. Brk Act #15 Fidelity Smart Account	A	Interest	J	T	Buy	03/31/10	K		

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

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

Part VII: INVESTMENTS AND TRUSTS

Brk Act #1: a percentage of the assets in these accounts were transferred [REDACTED] per agreement; the balance was transferred to a new individual account with the same designation "Brk Act #1". Brk Act #13: a percentage of the assets in these accounts were transferred to now [REDACTED] per agreement. A percentage of the assets reported in Brk Act #2 and #6 on prior years' FDRs were transferred [REDACTED] per agreement with the balance transferred into Brk Act #4.

Brk Act #10 from 2009 FDR. These assets are under the control of [REDACTED] not living in household and are no longer reportable.

Part VII lines 23,33,40,53 and 66_ of 2010 FDR. These assets were transferred [REDACTED] per agreement.

Page 4, line 17 of 2009 FDR. Brk Act #2 NYST AU LOC HGHWY & BRIDGE 5/09. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 4/1/09 and is therefore omitted from the 2010 FDR.

Page 5, line 18 of 2009 FDR. Brk Act #2 NYS Dorm Au Revs New Island Hosp 5.2/09.. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 7/1/09 and is therefore omitted from the 2010 FDR.

Page 5, line 30 of 2009 FDR. Brk Act #2 NYC G/O Ser H 5.25/13 (09). This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 3/16/09 and is therefore omitted from the 2010 FDR.

Page 10, line 114 of 2009 FDR. Brk Act #4 NYS Dorm Mtg Hosp 4.95/08. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 8/1/08 and is therefore omitted from the 2010 FDR.

Page 11, line 118 of 2008 FDR. Brk Act #4 NYC RFDG Ser H, subser H6 float/12. This was inadvertently listed on the 2009 FDR as an asset. It was a full redemption on 3/17/08 and is therefore omitted from the 2010 FDR.

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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 WILFULLY 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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Washington, D.C. 20544