

AO-10 (WP)
Rev. 1/2008FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2007Report Required by the Ethics
in Government Act of 1978,
(5 U.S.C. app. §§101-111)

1. Person Reporting (Last name, first, middle initial) OWEN, Richard		2. Court or Organization U.S. District Court Southern District of New York		3. Date of Report 5/15/08
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge		5a. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ____ ☒ Annual ____ Final		6. Reporting Period 1/1/07 - 12/31/07
		5b. ____ Amended Report		
7. Chambers or Office Address U.S. District Court 500 Pearl Street, Rm. 2240 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 Instructions.)☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Manhattan School of Music
2. President and Board Member	NY Lyric Opera Co.
3.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)**A. Filer's Non-Investment Income**☐ NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u>
1. 2007	Music Royalties-Amer. Society of Composers, Authors and Publishers (ASCAP)	\$ 253
2.		\$
3.		\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section (dollar amount not required except for honoraria).☐ NONE (No reportable non-investment income.)

1. 2007	Opera and concert singer; faculty member-Manhattan School of Music; Assist. Professor Barnard/Columbia, in voice
2.	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)☒ X

NONE (No such reportable reimbursements.)

SOURCEDATESLOCATIONPURPOSEITEMS PROVIDED OR PAID

1.					
2.					
3.					
4.					
5.					
6.					
7.					

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)☒ X

NONE (No such reportable gifts.)

SOURCEDESCRIPTIONVALUE

1.		\$
2.		\$
3.		\$
4.		\$

VI. LIABILITIES. (Includes those of spouse and dependent children See pp. 32-33 of Instructions.)☒ X

NONE (No reportable liabilities.)

CREDITORDESCRIPTIONVALUE CODE

1.			
2.			
3.			
4.			
5.			

*Value Codes:	J=\$15,000 or less	K=\$15,001-\$50,000	L=\$50,001-\$100,000	M=\$100,001-\$250,000
	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=\$50,000,001 or more

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS – Income, value, transactions (Includes those of spouse and dependent children; see pp. 34-68 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. ALCATEL LUCENT ADR		NONE	J	T					
2. ANHEUSER BUSCH COs	A	DIV	J	T					
3. CONSOLIDATED EDISON	A	DIV	J	T					
4. DOW CHEMICAL	A	DIV	J	T					
5. FIFTH THIRD BANCORP	A	DIV	J	T					
6. HANES BRANDS		NONE	J	T					
7. H J HEINZ CO	A	DIV	J	T					
8. HERSHEY CO	A	DIV	J	T	BUY	10/18	J		
9. HOME DEPOT	A	DIV	J	T	BUY	10/12	J		
10. INTEL	A	DIV	J	T					
11. JOHNSON & JOHNSON	A	DIV	J	T	BUY	3/14	J		
12. KIMBERLEY CLARK	A	DIV	J	T					
13. LSI CORP		NONE	J	T	MERGER	4/3	J		SPWOFF/MERGER
14. AGERE SYSTEMS					MERGER	4/2	J	A	
15. MARSH & MCLENNAN	A	DIV	J	T	BUY	10/18	J		
16. MOTOROLA INC	A	DIV	J	T					
17.									

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

A = \$1,000 or less
F = \$30,001 - \$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 = Assessed
W = Estimated

T = Cash Market

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS — Income, value, transactions (Includes those of spouse and dependent children; see pp. 34-68 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. NEW YORK TIMES CHA	A	DIV	J	T	BUY	3-14	J		
19. "					BUY	3-21	J		
20. "					BUY	9-25	J		
21. PROCTOR & GAMBLE	A	DIV	J	T					
22. QUALMAX		NONE	J	T					
23. SARA LEE	A	DIV	J	T					
24. US BANCORP	A	DIV	J	T	BUY	10/18	J		
25. WILMINGTON TRUST	A	DIV	J	T	BUY	3/14	J		
26. "					BUY	7/19	J		
27. FHCB 5.015% 10/8/08	A	INT	J	T					
28. FHCB 6.50% 11/3-09	B	INT	K	T					
29. NY ST TWY AWH 9.6% 4-1-09	A	INT	K	T					
30. NYC G/O 52SB 8-1-09	A	INT	J	T					
31. CORNING NY SCT 4% 11/5-11	A	INT	K	T					
32. NYC MWTR FA 4.75% 6/5-12	B	INT	K	T					
33. HILTON CSD NY 3.75% 6/5-13	A	INT	K	T					
34. W BABYLON UFSC NY 4% 7-15-11	A	INT	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	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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Name of Person Reporting

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. SOUTHERN	A	DIV	J	T					
36. INTER PUBLIC	A	DIV	J	T					
37. PennWest PET	B	DIV	J	T					
38. UNICOM	A	DIV	J	T					
39. SBC COMMUNICATION	A	DIV	J	T					
40. UNITED TECHNOLOGIES	A	DIV	J	T					
41. AMERICAN ELECTRIC POWER	R	DIV	K	T					
42. AMERITECH	A	DIV	J	T					
43. BELL SOUTH	A	DIV	J	T					
44. GLOBAL CROSSING		NONE	J	T					
45.									
46.									
47.									
48.									
49.									
50.									
51.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$30,001 - \$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 = Assessed W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS – Income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. ALICATEL LUCENT ADR	A	DIV	J	T					
53. ANHEUSER BUSCH CO'S	A	DIV	J	T					
54. CONSOLIDATED EDISON	A	DIV	J	T					
55. DOW CHEMICAL	A	DIV	J	T					
56. FIFTH THIRD BANCORP	A	DIV	J	T					
57. HANESBRANDS INC		NONE	J	T					
58. HERSCHEY CO	A	DIV	J	T	Buy	10/19	J		
59. HOME DEPOT	A	DIV	J	T					
60. WTEL	A	DIV	J	T					
61. JOHNSON & JOHNSON	A	DIV	J	T	Buy	3/15	J		
62. LSI CORP		NONE	J	T	MERGER	4-3	J		SPWCOFF
63. ACERE SYS INC.					MERGER	4-2	J	A	
64. MARSH MCLENNAN COS	A	DIV	J	T	Buy	10/19	J		
65. "					Buy	1/22	J		
66. MOTOROLA	A	DIV	J	T					
67. NEWYORK TIMES CL	A	DIV	J	T	Buy	3/16	J		
68. "					Buy	9/27	J		

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

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

(See Columns C1 and D3)

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

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(See Column C2)

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Name of Person Reporting

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Date of Report

5/15/08

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) Asset 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

69. SARALEE CORP	A	DIV	J	T					
70. US BANK CORP	A	DIV	J	T	BUY	10/19	J		
71. WILMINGTON TRUST	A	DIV	J	T	BUY	4-11	J		
72. "					BUY	7-24	J		
73. CIT GROUP 10-30-07	A	WT			MATURE	11-30	J	A	None
74. STRIPS-TWTS TREAS 8-15-08	A	WT	K	T					
75. FHLB 5.015% 10-8-08	A	WT	J	T					
76. S HUNTINGTON UFSB 3.625% 5-15-11	A	WT	J	T					
77. NY ST TRV ALM 3.75% 4-1-12	A	WT	J	T					
78. RYE BROOK NY 3.375 4-15-12	A	WT	J	T					
79. SUFFOLK CTY NY 3.625 12-1-11	A	WT	J	T					
80.									
81.									
82.									
83.									
84.									
85.									

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	

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Name of Person Reporting

Richard Owen

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IX. CERTIFICATION.

Richard Owen 9/3/08 

I certify that all information given above (including information pertaining to my spouse and minor children) 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 

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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 2007

*Report Required by the Ethics
in Government Act of 1978,
(5 U.S.C. app. §§101-111)*

1. Person Reporting (<i>Last name, first, middle initial</i>) OWEN, Richard	2. Court or Organization U.S. District Court Southern District of New York	3. Date of Report 5/15/08
4. Title (<i>Article III judges indicate active or senior status; magistrate judges indicate full- or part-time</i>) Senior U.S. District Judge	5a. Report Type (check appropriate type) ___ Nomination, Date ___ ___ Initial ___ X Annual ___ Final 5b. ___ Amended Report	6. Reporting Period 1/1/07 - 12/31/07
7. Chambers or Office Address U.S. District Court 500 Pearl Street, Rm. 2240 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 Instructions.*)

☐	NONE (No reportable positions.)	
	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Manhattan School of Music
2.	President and Board Member	NY Lyric Opera Co.
3.		

II. AGREEMENTS. (*Reporting individual only; see pp. 14-16 of Instructions.*)

☒	NONE (No reportable agreements.)	
	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		

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III. NON-INVESTMENT INCOME. (*Reporting individual and spouse; see pp. 17-24 of Instructions.*)

A. Filer's Non-Investment Income

☐	NONE (No reportable non-investment income.)	
	<u>DATE</u>	<u>SOURCE AND TYPE</u>
		<u>INCOME</u>
1.	R. Owen	Music Royalties-Amer. Society of Composers, Authors and Publishers (ASCAP) \$ 253
2.		\$
3.		\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section (dollar amount not required except for honoraria).

☐	NONE (No reportable non-investment income.)	
1.	Spouse	Opera and concert singer; faculty member-Manhattan School of Music; Assist. Professor Barnard/Columbia, in voice
2.		

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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				
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1. ALCATEL-LUCENT ADR		NONE	J	T					
2. ANHEUSER BUSCH CO3	A	DIV	J	T					
3. CONSOLIDATED EDISON	A	DIV	J	T					
4. DOW CHEMICAL	A	DIV	J	T					
5. FIFTH THIRD BANCORP	A	DIV	J	T					
6. HANES BRANDS		NONE	J	T					
7. H J HEINZ CO	A	DIV	J	T					
8. HERSHEY CO	A	DIV	J	T	BUY	10/13	J		
9. HOME DEPOT	A	DIV	J	T	BUY	10/12	J		
10. INTEL	A	DIV	J	T					
11. JOHNSON & JOHNSON	A	DIV	J	T	BUY	3/14	J		
12. KIMBERLEY CLARK	A	DIV	J	T					
13. LSI CORP		NONE	J	T	MERGER	4/3	J		SPW OFF/MERGER
14. AGERE SYSTEMS					MERGER	4/2	J	A	
15. MARSH & MCLENNAN	A	DIV	J	T	BUY	10/19	J		
16. MOTOROLA INC	A	DIV	J	T					
17.									

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
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18. NEW YORK TIMES CHA	A	DIV	J	T	BUY	3-14	J		
19. "					BUY	3-21	J		
20. "					BUY	9-25	J		
21. PROCTOR & GAMBLE	A	DIV	J	T					
22. QUALMAX		NONE	J	T					
23. SARA LEE	A	DIV	J	T					
24. US BANKCORP	A	DIV	J	T	BUY	10/18	J		
25. WILMINGTON TRUST	A	DIV	J	T	BUY	3/14	J		
26. "					BUY	7/19	J		
27. FHLB 5.015% 10/8/08	A	INT	J	T					
28. FHLB 6.50% 1-3-09	B	INT	K	T					
29. NY ST TWY ACH 9.6% 4-1-09	A	INT	K	T					
30. NYC 6/0 5.25% 01-09	A	INT	J	T					
31. CORNING NY SEC 4% 11-15-11	A	INT	K	T					
32. NYC MWTR FA 4.75% 6-15-12	B	INT	K	T					
33. HILTON CSD NY 3.75% 6-15-13	A	INT	K	T					
34. W BABYLON UFSC NY 4% 7-15-14	A	INT	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	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	

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. SOUTHERN	A	DIV	J	T					
36. INTER PUBLIC	A	DIV	J	T					
37. PENNWEST PET	B	DIV	J	T					
38. UNICOM	A	DIV	J	T					
39. SBC COMMUNICATION	A	DIV	J	T					
40. UNITED TECHNOLOGIES	A	DIV	J	T					
41. AMERICAN ELECTRIC POWER	B	DIV	K	T					
42. AMERITECH	A	DIV	J	T					
43. BELL SOUTH	A	DIV	J	T					
44. GLOBAL CROSSING		NONE	J	T					
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. ALCATEL LUCENT ADR	A	DIV	J	T					
53. ANHEUSER BUSCH CO'S	A	DIV	J	T					
54. CONSOLIDATED EDISON	A	DIV	J	T					
55. DOW CHEMICAL	A	DIV	J	T					
56. FIFTH THIRD BANCORP	A	DIV	J	T					
57. HANES BRANDS INC		NONE	J	T					
58. HERSHEY CO	A	DIV	J	T	Buy	10/19	J		
59. HOME DEPOT	A	DIV	J	T					
60. INTEL	A	DIV	J	T					
61. JOHNSON & JOHNSON	A	DIV	J	T	Buy	3/15	J		
62. LSI CORP		NONE	J	T	MERGER	4-3	J		SPW OFF
63. ACERE SYS INC					MERGER	4-2	J	A	
64. MARSH MCLENNAN COS	A	DIV	J	T	Buy	10/19	J		
65. "					Buy	10/22	J		
66. MOTOROLA	A	DIV	J	T					
67. NEWYORK TIMES CL	A	DIV	J	T	Buy	3/16	J		
68. "					Buy	9/27	J		

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 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. SARALEE CORP	A	DIV	J	T					
70. US BANK CORP	A	DIV	J	T	BUY	10/19	J		
71. WILMINGTON TRUST	A	DIV	J	T	BUY	4-11	J		
72. "					BUY	7-24	J		
73. CIT GROUP 10-30-07	A	INT			MATURE	11-30	J	A	None
74. STRIPS-TWTS TREAS 8-15-08	A	INT	K	I					
75. FHLB 5.45% 10-8-08	A	INT	J	T					
76. S HUNTW64W UFSB 3.625% 5-15-11	A	INT	J	T					
77. NY ST TRV ALM 3.75% 4-1-12	A	INT	J	T					
78. RYE BROOK NY 3.375 4-15-11	A	INT	J	T					
79. SUFFOLK CTY NY 3.625 12-1-11	A	INT	J	T					
80.									
81.									
82.									
83.									
84.									
85.									

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)					
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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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 _____

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544