

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) OWEN, Richard	2. Court or Organization U.S. District Court Southern District of New York	3. Date of Report 5/15/09
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 5b. ☐ Amended Report	6. Reporting Period 1/1/08 to 12/31/08
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 filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Manhattan School of Music
2. President and Board Member	NY Lyric Opera Co.
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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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.	2008	Music Royalties, ASCAP	\$263.50
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.	2008	Opera and concert singer; faculty member Manhattan School of Music; Asst. Professor Barnard/Columbia, in voice.
2.		
3.		
4.		

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.					
2.					
3.					
4.					
5.					

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date 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	A	DIV	J	T					
2. ANHEUSER BUSCH CO	A	DIV			SELL	7-18-08	J	C	
3. CONSOLIDATED EDISON	A	DIV	J	T					
4. DOW CHEMICAL	A	DIV	J	T					
5. FIFTH THIRD BANCORP	A	DIV	J	T	SELL	12-31-08	J	A	
6. HAVESBRAUNDS		NONE	J	T					
7. HJ HEINZ CO	A	DIV	J	T					
8. HERSHEY CO	A	DIV	J	T					
9. HOME DEPT	A	DIV	J	T					
10. INTEL	A	DIV	J	T					
11. JOHNSON & JOHNSON	A	DIV	J	T					
12. KIMBERLY CLARK	A	DIV	J	T					
13. LSI		NONE	J	T					
14. MARSH & MCLENNAN	A	DIV	J	T					
15. MOTOROLA	A	DIV	J	T					
16. NEW YORK TIMES CLA	A	DIV	J	T					
17. PROCTOR & GAMBLE	A	DIV	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	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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18. QUALMAX		NONE	J	T					
19. SARA CEE	A	DIV	J	T					
20. US BANCORP	A	DIV	J	T					
21. WILMINGTON TRUST	A	DIV	J	T					
22. FHCB 5.015% 10-8-08	A	INT	J	T	REDEMP	10-8-08	J	A	
23. FHCB 6.50% 11-13-09	B	INT	K	T					
24. NYST TWY AUTH 4.6% 11-09	A	INT	K	T					
25. NYC G/O 5.25% 8-1-09	A	INT	J	T					
26. CORNING NY CSD 4% 11-15-11	A	INT	K	T					
27. NYC G/O 5 1/4% 3-15-12	B	INT	K	T	BUY	7-18-08	K		
28. NYC MUN WTR F/A 4.75% 6-15-12	B	INT	K	T					
29. HILTON CSD NY 3.75% 6-15-13	A	INT	K	T					
30. W BABYLON VFSD NY 4% 7-15-14	A	INT	J	T					
31.									
32.									
33.									
34.									

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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 PWR	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.									

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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52. ALCA TEL LUCENT ADR	A	DIV	J	T					
53. ANHEUSER BUSCH COS	A	DIV			SELL	7-18-08	J	B	
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	A	NONE	J	T					
58. HEWZ	A	DIV	J	T	NOT	W	AK		
59. HERSHEY	A	DIV	J	T					
60. HOME DEPOT	A	DIV	J	T					
61. INTEL	A	DIV	J	T					
62. JOHNSON + JOHNSON KIMBERLY CLARK	A	DIV	J	T					
63. LSI		NONE	J	T					
64. MARSH MCLENNAN	A	DIV	J	T					
65. MOTOROLA	A	DIV	J	T	SELL	12-31-08	J	A	
66. NEW YORK TIMES CLA	A	DIV	J	T					
67. PROCTOR & GAMBLE	A	DIV	K	T					
68. SARA LEE	A	DIV	J	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

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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

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69. US BANCORP	A	DIV	J	T					
70. WILMINGTON TRUST	A	DIV	J	T					
71. STP GROUP ^{STIP 8-15-08} STREPS TWI	A	INT	K	T	REDEMP	8-15-08	K	A	
72. FHLB 5.015% 10-8-08	A	WT	J	T	REDEMP	10-8-08	J	A	
73. SHAWNTON ^{3.625%} VFSD ⁵⁻¹⁵⁻¹¹	A	WT	J	T					
74. ^{3.75%} NY ST TWY AUTH ⁴⁻¹⁻¹²	A	INT	J	T					
75. ^{3.375%} RYE BROOK NY ⁴⁻¹⁵⁻¹³	A	INT	J	T					
76. SUFFOLK NY ^{3.625%} 12-1-14	A	INT	J	T					
77. NYC 6/0	A	INT	J	T	BUY	7-21-08	J		
78.									
79.									
80.									
81.									
82.									
83.									
84.									
85.									

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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