

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009Report 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 07/08/2010
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 01/01/2009 to 12/31/2009
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.)

POSITION	NAME OF ORGANIZATION/ENTITY
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.	

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JUL 13 A 9:29
FEDERAL BUREAU OF INVESTIGATION
U.S. DEPARTMENT OF JUSTICE

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

☐ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
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.		
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) 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	M	T					
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	P1	T					
4. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	D	Dividend	N	T					
5. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	C	Dividend	N	T					
6. Brk Act #1 Fidelity Balanced [FBALX]	D	Dividend	N	T					
7. Fidelity Export & Multinat'l [FEXPX]	A	Dividend	L	T					
8. Brk Act #2 First Eagle Overseas Fund Class A	A	Dividend	K	T					
9. Brk Act #2 LM [SB] Appreciation Fd CL A (Part VIII)	C	Dividend	M	T					
10. Brk Act #2 LM [SB] Large Cap Grwth FD CL A		None	M	T					
11. Brk Act #2 Wstrn Asset NY Muni Money Mkt Fd CL A	A	Interest	N	T	Buy	02/03/09	K		
12. Brk Act #2 Wstrn Asset Money Market Fd CL A	A	Interest	L	T	Buy	01/06/09	L		
13. Brk Act #2 Citi Inst Reserves Tax Free	A	Dividend	M	T	Redeemed (part)	01/05/09	L		
14. Brk Act #2 Uts Nuveen TE UT TR #61 M NY INSD \$61 (Part VIII)	A	Dividend	J	T					
15. Brk Act #2 VFH	A	Dividend	J	T					
16. Brk Act #2 SCD	D	Dividend	M	T					
17. Brk Act #2 NYST AU LOC HGHWY&BRIDGE 5/09	C	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 I12 = 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 Q = \$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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18. Brk Act #2 NYS Dorm Au Revs New Island Hosp 5.2/09	D	Interest	M	T					
19. Brk Act #2 NY NY SER J 4.625/10	B	Interest			Redeemed	08/04/09	K	A	
20. Brk Act #2 NYC G/O Ser G 3.125/10 [4/10]	C	Interest	M	T					
21. Brk Act #2 Nassau Co Ser C 5.25/10	C	Interest	M	T					
22. Brk Act #2 NYS Dorm AU Staten Isl U Hosp 4.9/10	B	Interest	L	T					
23. Brk Act #2 NYC G/O SER C 4.375/11	C	Interest	M	T					
24. Brk Act #2 NYS ENV FACS 5/11	A	Interest	K	T					
25. Brk Act #2 NYNY Ser F 5.125/11	B	Interest	K	T					
26. Brk Act #2 NYC Transitional Auth 4.6/11	A	Interest			Redeemed	03/18/09	K	A	
27. Brk Act #2 Eire Cnty NY Pub Impt Ser A 5/11 (Part VIII)	B	Interest	K	T					
28. Brk Act #2 NY NY Ser J 4/12	C	Interest	M	T					
29. Brk Act #2 NYS Dorm Auth City Univ 5.75/12 (/09)	C	Interest			Redeemed	07/09/09	L	A	
30. Brk Act #2 NYC G/O Ser H 5.25/13 (/09)	A	Interest	K	T					
31. Brk Act #2 NY NY Ser J FGIC-TCRS 5.35/12	A	Interest			Redeemed	03/16/09	K	A	
32. Brk Act #2 NYS Dorm Auth Upstate Comm Coll Rev B 5/13 [/10]	B	Interest	L	T					
33. Brk Act #2 NY NY RFDG Ser B-FGIC TCRS 5.75/13	C	Interest	L	T					
34. Brk Act #2 Medina NY Cent Sc Dist 4.75/13	B	Interest	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-I)	(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)
35. Brk Act #2 NYS Dorm AU RFDG SECD HOSP NYDTWN 5.2/014	C	Interest	L	T					
36. Brk Act #2 NYS Dorm AU Revs Third Gen Res 5.25/13	C	Interest	L	T					
37. Brk Act #2 NYS Dorm AU Revs Lutheran Med 5/13	C	Interest	L	T					
38. Brk Act #2 NYC GO Ser J 4/13	C	Interest	M	T					
39. Brk Act #2 Buffalo NY Ser B 5.375/13 [12]	B	Interest	K	T					
40. Brk Act #2 Nassau Cty IFA Ser A 5/13	B	Interest	K	T					
41. Brk Act #2 NYC GO Ser A 4/13	C	Interest	M	T					
42. Brk Act #2 Camden NY Cent Sch DIST SER A 4.5/14	B	Interest	L	T					
43. Brk Act #2 NYC MUN WTR FIN 00/14	A	Interest			Redeemed	12/15/09	K	A	
44. Brk Act #2 NYS DORM AU Iona Coll 4.3/14	B	Interest	L	T					
45. Brk Act #2 NYC Ser J 5.25/14 (/09)	A	Interest			Redeemed	05/15/09	K	A	
46. Brk Act #2 Sharon Springs MunWtr 4.8/14	B	Interest	K	T					
47. Brk Act #2 NYS Dorm Au Colgate 4.625/14	B	Interest	K	T					
48. Brk Act #2 NYC Ser A G/O 4.3/14	C	Interest	L	T					
49. Brk Act #2 NYS Dorm Au Lease Rev Mun Hlth 5.5/14	B	Interest	K	T					
50. Brk Act #2 Buffalo NY Gen ImpSer A 4.7/14 [11]	C	Interest	M	T					
51. Brk Act #2 NYC GO Ser I 4.5/14 [13]	B	Interest	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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☐ 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) Id. ntity of buyer/seller (if private transaction)
52. Brk Act #2 West Seneca Cent Sch 4.125/14	C	Interest	M	T					
53. Brk Act #2 NYC GO Ser G 4/14	C	Interest	M	T					
54. Brk Act #2 No Babylon Sch Dt 5.25/15	B	Interest	K	T					
55. Brk Act #2 NYS TWY AU 5/15 (/09)	C	Interest			Redeemed	04/01/09	M	A	
56. Brk Act #2 NY,NY Ser I 5.25/15 (/09)	B	Interest			Redeemed	04/15/09	L	A	
57. Brk Act #2 NYC REF Ser B G/O 5.75/15	C	Interest	L	T					
58. Brk Act #2 NY,NY RFDG Ser G 5/15	A	Interest			Redeemed	11/05/09	K	A	
59. Brk Act #2 LI Pwr Au[LIPA] 4/15	B	Interest	K	T					
60. Brk Act #2 NYNY Ser A 5.25/15	B	Interest	K	T					
61. Brk Act #2 MTA 5.25/15	C	Interest	L	T					
62. Brk Act#2 NYC Trans Fin 4/15	C	Interest	M	T					
63. Brk Act #2 NYS Dorm Pres 4.2/15[14]	B	Interest	L	T					
64. Brk Act #2 NYC Ser C 5.25/15[14]	B	Interest	K	T					
65. Brk Act #2 NYC Health & Hosp 4.55/16	C	Interest	M	T					
66. Brk Act #2 NYC G/O Ser H 5.25/16	C	Interest	L	T					
67. Brk Act #2 NYS Dorm Au St Johns U 5/16	B	Interest	K	T					
68. Brk Act #2 NY, NY Trans Fin Au 4.75/16					Redeemed (part)	05/18/09	J	A	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. same as above	B	Interest			Redeemed	09/28/09	K	A	
70. Brk Act #2 NY NY Ser J 5.25/16	D	Interest	M	T					
71. Brk act #2 NYS Env Fac Corp St Clean Wtr 5/17	B	Interest	L	T					
72. Brk Act #2 NY NY RFDG Ser J 5/17	B	Interest			Redeemed	11/16/09	K	A	
73. Brk Act #2 NYC Ser G G/O 5/17	C	Interest	M	T					
74. Brk Act #2 NYC GO Ser O 5/17[15]	C	Interest	M	T					
75. Brk Act #2 NYC SER B Gen Obl 5.375/18 [08]	A	Interest	J	T					
76. Brk Act #2 NYS Dorm Au St Josephs H 5.25/18	A	Interest	J	T					
77. Brk Act #2 Binghamton 4.25/18[16]	C	Interest	M	T					
78. Brk Act #2 NYS Thru H & B 5/18[15]	C	Interest	M	T					
79. Brk Act #2 NYC GO Ser A1 5/18[17]	D	Interest	M	T					
80. Brk Act #2 NY NY RFDG Ser I 5/18[14]	C	Interest	M	T					
81. Brk Act #2 NYC TFA FUT TAX FGIC SECD Ser E 5.25/18	D	Interest	M	T					
82. Brk Act #2 New York State Dorm Auth St Pers Income Tax 4/18	B	Interest	M	T					
83. Brk Act #2 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	M	T					
84. Brk Act #2 City MWF AU WKS Sys Rev Ser D 0/18	A	Interest	M	T					
85. Brk Act #2 LIPA NY Elec Sys Ser E 5/18	C	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less P = \$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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3. Value Method Codes (See Column C2)					

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86. Brk Act #2 NYS Thruway Au Gen Rev Ser H 5/19	C	Interest	M	T					
87. Brk Act #2 Buffalo Ser C 5/19	C	Interest	M	T					
88. Brk Act #2 MTA Ser A5.5/19[12]	D	Interest	M	T					
89. Brk Act #2 NYC TFA Ser A1 5/19[16]	C	Interest	M	T					
90. Brk Act #2 Middletown NY 4.125/19[16]	C	Interest	M	T					
91. Brk Act#2 PR Sales Tax 4.65/19	A	Interest	M	T	Buy	06/11/09	L		
92. Brk Act #2 NYS Env FACS Corp St Clean WTR & Drinking 5.25/20	D	Interest	N	T					
93. Brk Act #2 Metro T SPTN Au NY TSPN REV SER A 5/20	C	Interest	M	T					
94. Brk Act #2 NYC GO Ser A 5/20[16]	C	Interest	M	T					
95. Brk Act#2 LIPA Ser E 5/20 [16]	C	Interest	L	T					
96. Brk Act #2 NY Gen Oblig BDS-G1 5.5/21	C	Interest	L	T					
97. Brk Act #2 NYC Trans F/A Rev 5.25/21	C	Interest	L	T					
98. Brk Act #2 NYS Pers Inc Tax 5/21[16]	C	Interest	M	T					
99. Brk Act #2 New York NY Ser A CIFG TCRS 5/21	D	Interest	M	T					
100. Brk Act #2 Metro Tras Au NY Rev RFDG Ser A 5.125/21	D	Interest	M	T					
101. Brk Act #2 New York City G/O Ser A 5/22	C	Interest	M	T					
102. Brk Act #2 Monroe Cnty IDA 5/22	A	Interest	L	T	Buy	12/04/09	K		

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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) 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-I)	(5) Identity of buyer/seller (if private transaction)
103. Brk Act #2 NJ Economic Dev Au Sch Constr Ser O 5/23/23	A	Interest	L	T	Buy	10/07/09	L		
104. Brk Act #2 PR Elec Pwr Rev RFDG Ser PP 5/23	A	Interest	L	T	Buy	11/13/09	L		
105. Brk Act #2 NY Gen Oblig BDS E 6/23	D	Interest	M	T					
106. Brk Act #2 Triborough Bridge & T Au Ser D 5/23	C	Interest	M	T					
107. Brk Act #2 New York St Dorm Au Revs Hosp FHA Insd A 6.45/24	D	Interest	M	T					
108. Brk Act #2 Triborough B & T AU 5/24	C	Interest	M	T					
109. Brk Act #2 NYS Thwy Au 2d HWY & BDG 5/25 (Part VIII)	C	Interest	M	T					
110. Brk Act #2 NYC MWA Wtr & Swr Rev Ser C 5/25 (Part VIII)	D	Interest	M	T					
111. Brk Act #2 NY NY IDA Rev AGC 6.125/29	A	Interest	K	T					
112. Brk Act #2 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	K	T					
113. Brk Act #2 XLF	B	Dividend	K	T					
114. Brk Act #4 NYS Dorm Mtg Hosp 4.95/08	B	Interest	K	T					
115. Brk Act #4 NYNY Ser H MBIA 5/09	B	Interest			Redeemed	08/03/09	K	A	
116. Brk Act #4 NYS Thwy 5.1/10	C	Interest	L	T					
117. Brk Act #4 NYC G/O Ser C 4.35/11	B	Interest	L	T					
118. Brk Act #4 NYC RFDG Ser H, subser H6 float/12	C	Interest	L	T					
119. Brk Act #4 MTA FRDG Ser A 4.3/13	B	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	

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Name of Person Reporting

Castel, P. Kevin

Date of Report

07/08/2010

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 NYS Dorm Columbia U. 5.25/13	B	Interest	K	T					
121. Brk Act #4 New York City G/O Ser E 5/14	B	Interest	L	T					
122. Brk Act #4 New Rochelle Sch Dist Ser A FSA 5/14	B	Interest	K	T					
123. Brk Act #4 New Rochelle NY School 5.25/14	B	Interest	K	T					
124. Brk Act #4 NYC Ref Ser B G/O 5.75/15	B	Interest	K	T					
125. Brk Act #4 NYC Health & Hosp 4.5[4.55]/16	A	Interest	K	T					
126. Brk Act #4 Hudson Falls NY Cent Sch 4.625/16	B	Interest	K	T					
127. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest	M	T					
128. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	L	T					
129. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
130. Brk Act #4 New York NY RFDG Ser H 5/16	B	Interest	L	T					
131. Brk Act #4 Port Auth 125th Ser 5/18	B	Interest	K	T					
132. Brk Act #4 MTA 4.5/18	B	Interest	K	T					
133. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
134. Brk Act #4 Binghamton NY 4.25/18[16]	C	Interest	L	T					
135. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
136. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	L	T					

1. Income Gain Codes: (See Columns D1 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

Castel, P. Kevin

Date of Report

07/08/2010

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-I)	(5) Identity of buyer/seller (private or transaction)
137. Brk Act #4 Port Au NY & NJ 4.5/25	B	Interest	L	T	Buy	08/17/09	L		
138. Brk Act #4 Western Asset Mkt FD	A	Dividend	K	T					
139. Brk Act #4 LM[SB] Large Cap Growth Fund CL A		None	L	T					
140. Brk Act #6 SB Money Funds Cash Port CLA	A	Dividend	J	T					
141. Brk Act #6 SB Muni NY Mkt Port CL A	A	Dividend	J	T					
142. Brk Act #6 ADP	A	Dividend	J	T					
143. Brk Act #6 BR	A	Dividend	J	T					
144. Brk Act #6 BBY	A	Dividend	J	T					
145. Brk Act #6 Citigroup	A	Dividend	J	T					
146. Brk Act #6 GE	A	Dividend	J	T					
147. Brk Act #6 IBM	A	Dividend	J	T					
148. Brk Act #6 KMB	A	Dividend	J	T					
149. Brk Act #6 KSS		None	J	T					
150. Brk Act #6 MDT	A	Dividend	J	T					
151. Brk Act #6 MSFT	A	Dividend	J	T					
152. Brk Act #6 PWC	A	Dividend	K	T					
153. Brk Act #6 WMT	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	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

Castel, P. Kevin

Date of Report

07/08/2010

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34 & 8 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., re t, 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 #6 WAG	A	Dividend	J	T					
155. Brk Act #6 WFC	A	Dividend	J	T					
156. Brk Act #7 Citibank NA Bank Dep Program	A	Interest	K	T					
157. Brk Act #7 PWC	A	Dividend	J	T					
158. Brk Act #7 RIT	A	Dividend	J	T					
159. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	C	Interest	L	T	Buy	01/09/09	K		
160. Brk Act #9 SB (Western Asset)MUNI NY MNY MKT PORT CL A	A	Interest	M	T					
161. Brk Act #9 EEM	A	Dividend	K	T					
162. Brk Act #9 PWC	A	Dividend	M	T	Buy (add'l)	11/18/09	K		
163. Brk Act #9 PZI	A	Dividend	J	T					
164. Brk Act #9 PRF					Sold (part)	09/18/09	L	A	
165. same as above	A	Dividend			Sold	09/21/09	J	A	
166. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	K	T					
167. Brk Act #9 NYC Muni Water SWR 0/14[09]	B	Interest			Redeemed	12/15/09	K	A	
168. Brk Act #9 New York City MWF Au W &S Ser D O CPN 0/18	A	Interest	L	T					
169. Brk Act #9 NYS G/O BDS-A 0/19	A	Interest	K	T	Buy	03/05/09	K		
170. Brk Act #9 PR Comm H & T 0/20	A	Interest	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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Name of Person Reporting

Castel, P.Kevln

Date of Report

07/08/2010

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)
171. Brk Act #9 XLF	A	Dividend	J	T					
172. Brk Act #10 SB [Wstrn Asst]MUNI NY MNY PORT CL A	A	Dividend	M	T					
173. Brk Act #10 EEM	A	Dividend	K	T					
174. Brk Act #10 PWC	A	Dividend	M	T	Buy (add'l)	09/18/09	K		
175. Brk Act #10 PRF					Sold (part)	09/18/09	L	A	
176. (same as above)	A	Dividend			Sold	09/21/09	J	A	
177. Brk Act #10 PZI	A	Dividend	J	T					
178. Brk Act #10 MFS Intl New Disc Fund C[MIDCX]	A	Dividend	K	T					
179. Brk Act #10 NYC Muni Water SWR 0/14/09]	B	Interest			Redeemed	12/15/09	K	A	
180. Brk Act #10 New York City MWF Au W/S Sys Ser D O CPN 0/18	A	Interest	L	T					
181. Brk Act #10 NYSG/O BDS A 0/19	A	Interest	K	T	Buy	03/05/09	K		
182. Brk Act #10 P R Comm H & T 0/20	A	Interest	K	T					
183. Brk Act #12 PHX Oakhurst Strat Alloc FD A	A	Dividend	J	T					
184. Brk Act #12 PHX Oakhurst Inc&Growth FD A	A	Dividend	J	T					
185. Brk Act #13 Fidelity Divers Intl [FDIVX]	D	Dividend	M	T					
186. Brk Act #13 Fidelity Equity Inc[FEQLX]	F	Dividend	O	T					
187. Brk Act #13 Fidelity Inter Bond [FTHR]	E	Interest	N	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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07/08/2010

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)
188. Brk Act #13 Fidelity Export & Multinat'l [FEXPX]	B	Dividend	L	T					
189. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	L	T					
190. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves][FCRXX]	D	Interest	M	T					
191. Bank Act #14 Chase Accounts		None	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 I1/2 = 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

Castel, P .Kevin

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07/08/2010

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)***Part VII: INVESTMENTS AND TRUSTS**

Page 5, line 26 of 2008 FDR. Brk Act #2 NYS TWY AUTH 5.25/10. This was inadvertently listed on the 2008 FDR as a partial redemption when it was a full redemption and is therefore omitted from the 2009 FDR.

Page 5, line 24 of 2008 FDR. Brk Act #2 NY NY RFDG Ser J 5/10(08). This was inadvertently listed on the 2008 FDR as a partial redemption when it was a full redemption and is therefore omitted from the 2009 FDR.

Page 6, line 49 of 2008 FDR. Brk Act #2 NYS Dorm Auth Revs Ithaca Coll 5/13. This was inadvertently listed on the 2008 FDR as a partial redemption when it was a full redemption and is therefore omitted from the 2009 FDR.

Page 11, line 127 of 2008 FDR. Brk Act #2 NY Gen Pblig BDS-G1 5.5/21. This item is a duplicate of page 11, line 122 of the 2008 FDR. According the second listing is omitted on the 2009 FDR.

Page 11, lines 133 through 138 of 2008 FDR. Triborough Bridge & Tunnel Au Var 2032. This was inadvertently listed on the 2008 FDR as a partial redemption when it was a full redemption and is therefore omitted from the 2009 FDR.

Page 12, line 143 of 2008 FDR. Brk Act #4 NYS Dorm Mtg Hosp 4.95/08. This should have been listed on the 2008 FDR as redeemed on 2/1/08 at Value Code K.

Page 14, line 186 of 2008 FDR. Brk Act #7 Lehman Bros 4.150/15. This was inadvertently listed on the 2008 FDR as a partial redemption when it was a full redemption and is therefore omitted from the 2009 FDR.

Page 4, line 14 of 2009 FDR. Brk Act #2 Uts Nuveen TR UT TR#61 M NY INSD S61. Broker reports that this security was owned going back to prior to 2005 and was inadvertently omitted.

Page 10, line 109 of 2009 FDR. Brk Act #2 NYS Thrwy Au 2d Hwy & Bdg 5/25. This was inadvertently omitted from the 2009 FDR. It was a buy on 4/17/08 at Value Code M. Interest in 2008 was at Amount Code C, with a value at the end of the period of M.

Page 10, line 110 of 2009 FDR. Brk Act #2 NYC MWA Wtr & Swr Rev Ser C First Res 5/25. This was inadvertently omitted from the 2009 FDR. It was a buy on 5/30/08 at Value Code M. Interest in 2008 was at Amount Code D, with a value at the end of the period of M.

Page 5, line 27 of 2009 FDR. Brk Act #2 Eire Cnty NY Pub Imp Ser A 5/11. This was inadvertently listed on the 2008 FDR as a full redemption and is therefore included in the 2009 FDR.

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Name of Person Reporting

Castel, P. Kevin

Date of Report

07/18/2010

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