

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Patterson, Jr., Robert P	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 06/12/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2006 to 12/31/2006
5b. ☐ Amended Report		
7. Chambers or Office Address U.S. District Court Chambers 2550, 500 Pearl St. 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. Board of Managers	The Havens Relief Fund Society
2.	
3.	
4.	
5.	

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.	
3.	

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Name of Person Reporting

Patterson, Jr., Robert P

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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> (yours, not spouse's)
1.		
2.		
3.		
4.		
5.		

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.	
5.	

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

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

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	John Hancock	Insurance Policy Loan	J
2.	National Life Insurance	Insurance Policy Loan	J
3.	New England Life (now Met Life)	Insurance Policy Loan	J
4.			
5.			

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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. Vanguard Group (Keogh) Windsor II Fund	E	Dividend	O	T		1/15	K		Partial mandatory redemption
2. Vanguard Group (Keogh) Int. Term Corp. Fund	E	Interest	N	T		1/15	K		Partial mandatory redemption
3. Istar Finl Inc.	B	Dividend	K	T					
4. Metropolitan Life Ins.	A	Dividend	J	T					
5. Byron Bergen NY Sched 2.5% 6/15/08	B	Interest	K	T					
6. Clarkstown School Dist. 4.5% 4/15/10	A	Interest	K	T	Buy	6/22	L		
7. Edgemont School Dist. N.Y. 5.50% at 1/15/07 (Greenburgh)	B	Interest	K	T					
8. Metropolitan Transit Authority 6.0% 7/1/06	C	Interest			Redemption	7/1	K		Redemption
9. New Rochelle City 4% 9/1/03	B	Interest	K	T					
10. N.Y. State Env. Fac. 5.6% 9/15/13	A	Interest	J	T					
11. N.Y. State Env. Fac. 5.25% 6/15/14	C	Interest	L	T					
12. Otsego Cnty NY Indl. Dev. Agy 5.125% 11/1/12	C	Interest	L	T					
13. Orleans County, NY 4.9% 12/15/14	B	Interest	K	T					
14. Syracuse NY Ref. 3% 10/1/08	A	Interest	K	T					
15. New York Tax Free Income Fund	A	Interest	J	T					
16. Chase Bank IRA Cash Equivalent	A	Interest	J	T					
17. Chase Bank IRA Cash Equivalent	A	Interest	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment 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 the 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)
18. Green Point Savings Cash Equivalent	A	Interest	J	T					
19. N.Y. Daily Tax Free Income Fund	B	Interest	L	T					
20. Aramark Corp.	A	Dividend			Sell	7/28	K	D	
21. Life Cell Corp.		None			Buy	5/12	K		
22. Life Cell Corp.					Sell	12/4	K	C	Loss
23. Copart, Inc.		None	K	T					
24. Dril-Quip Corp. CL-B		None	K	T					
25. Harris Stratex Networks, Inc.		None	K	T	Buy	5/15	K		
26. Cisco Systems, Inc.		None	K	T	Buy	3/12	J		
27. Cisco Systems, Inc.		None	K	T	Buy	4/28	J		
28. Exxon Mobil Corp.	B	Dividend	L	T					
29. Florida East Coast Inds.	A	Dividend	K	T	Partial Sale	8/15	J	B	
30. General Electric	A	Dividend	K	T			J		
31. IBM	A	Dividend	K	T					
32. Istar Financial	B	Dividend	K	T					
33. Helmerich & Payne Inc.	A	Dividend	K	T	Buy	9/29	K		
34. Kimco Realty	B	Dividend	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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Medco Health Solutions		None	K	T					
36. Microsoft Corp.	A	Dividend	K	T					
37. Questar Corp.	A	Dividend	K	T	partial sale	7/13	J	D	
38. Proctor & Gamble	A	Dividend	K	T	Buy	5/15	K		
39. Teleflex Inc.	A	Dividend	K	T					
40. TESCO Corp.		None	K	T	Buy	4/26	J		
41. AOL Time Warner	A	Dividend	K	T					
42. Igene Biotechnology Inc. (WTS)		None		T					Value under \$1,000
43. Brookhaven NY Ind. Devl. 5.6% 12/1/09	C	Interest	L	T					
44. N.Y.S. Power Authority 5.625% 1/1/10	A	Interest	J	T	Redemption	1/6	J		Partial redemption
45. N.Y.S. Twy. Auth. Hwy & Bond 5/1% 4/1/08	C	Interest			Redemption	4/3	L	B	Redemption
46. Progress Energy, Inc.		None		T					Value under \$1,000
47. Ultra Life Battery		None	K	T	Buy	7/24	J		
48. Ultra Life Battery		None	J	T	Buy	7/26	J		
49. Zoll Medical		None	K	T	Buy	5/20	K		
50. Air Products & Chemicals	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	K=\$15,001 - \$50,000 O=\$500,001 - \$1,000,000	L=\$50,001 - \$100,000 P1=\$1,000,001 - \$5,000,000	M=\$100,001 - \$250,000 P2=\$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Through an oversight, I failed to list purchases by my [REDACTED] of Air Products & Chemicals common stock on my 2005 report.

The purchases in my [REDACTED] account were on 3/2/05 and 6/8/05 and were each less than \$15,000.

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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

Date

June 12, 2007

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 2006

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) Patterson, Jr., Robert P	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 04/25/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address U.S. District Court Chambers 2550, 500 Pearl St. 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. Board of Managers	The Havens Relief Fund Society
2.	
3.	
4.	
5.	

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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.	
3.	

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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> (yours, not spouse's)
1.		
2.		
3.		
4.		
5.		

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.	
5.	

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

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

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. John Hancock	Insurance Policy Loan	J
2. National Life Insurance	Insurance Policy Loan	J
3. New England Life (now Met Life)	Insurance Policy Loan	J
4.		
5.		

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7. Edgemont School Dist. N.Y. 5.50% at 1/15/07 (Greenburgh)	B	Interest	K	T					
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11. N.Y. State Env. Fac. 5.25% 6/15/14	C	Interest	L	T					
12. Otsego Cnty NY Indl. Dev. Agy 5.125% 11/1/12	C	Interest	L	T					
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21. Life Cell Corp.					Buy	5/12	K		
22. Life Cell Corp.					Sell	12/4	K	C	Loss
23. Copart, Inc.		None	K	T					
24. Dril-Quip Corp. CL-B		None	K	T					
25. Harris Stratex Networks, Inc.		None	K	T	Buy	5/15			
26. Cisco Systems, Inc.		None	K	T	Buy	3/12	J		
27. Cisco Systems, Inc.		None	K	T	Buy	4/28	J		
28. Exxon Mobil Corp.	B	Dividend	L	T					
29. Florida East Coast Inds.	A	Dividend	K	T	Partial Sale	8/15	J	B	
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31. IBM	A	Dividend	K	T					
32. Istar Financial	B	Dividend	K	T					
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34. Kimco Realty	B	Dividend	L	T					

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36. Microsoft Corp.	A	Dividend	K	T					
37. Questar Corp.	A	Dividend	K	T	partial sale	7/13	J	D	
38. Proctor & Gamble	A	Dividend	K		Buy	5/15			
39. Teleflex Inc.	A	Dividend	K	T					
40. TESCO Corp.		None	K	T	Buy	4/26	J		
41. AOL Time Warner	A	Dividend	K	T					
42. Igene Biotechnology Inc. (WTS)		None		T					Value under \$1,000
43. Brookhaven NY Ind. Devl. 5.6% 12/1/09	C	Interest	L	T					
44. N.Y.S. Power Authority 5.625% 1/1/10	A	Interest	J	T	Redemption	1/6	J		Partial redemption
45. N.Y.S. Twy. Auth. Hwy & Bond 5/1% 4/1/08	C	Interest			Redemption	4/3	L	B	Redemption
46. Progress Energy, Inc.		None		T					Value under \$1,000
47. Ultra Life Battery		None	K	T	Buy	7/24	J		
48. Ultra Life Battery		None			Buy	7/26	J		
49. Zoll Medical		None	K	T		5/20	J		
50. Air Products & Chemicals	A	Dividend	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

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

PI = \$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

Patterson, Jr., Robert P

Date of Report

04/25/2007

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

Through an oversight, I failed to list purchases by [REDACTED] of Air Products & Chemicals common stock on my 2005 report.

The purchases in [REDACTED] account were on 3/2/05 and 6/8/05 and were each less than \$15,000.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Patterson, Jr., Robert P

Date of Report

04/25/2007

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

Date

April 25, 2007

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