

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Seibel, Cathy	2. Court or Organization U.S. District Court --S.D.N.Y.	3. Date of Report 05/06/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge -- active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address Charles L. Brieant U.S. Courthouse 300 Quarropas St., Rm. 275 White Plains, NY 10601	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. Secretary	Hastings-on-Hudson PTSA
2. board member	Fordham Law Alumni Association
3. Lecturer-in-Law (part-time trial practice instructor)	Columbia University School of Law
4.	
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. 2010	\$5000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2010
2.	
3.	

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FINANCIAL DISCLOSURE REPORT
Page 2 of 9

Name of Person Reporting
Seibel, Cathy

Date of Report
05/06/2010

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. 2009	Columbia University -- payment for teaching	\$5,000.00
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. 2009	Columbia University: salary as faculty member and physician
2. 01/28/09	New York Times -- \$832 payment for writing
3. 03/03/09	New York Times -- \$1100 payment for writing
4. 03/11/09	Johns Hopkins University Press -- \$517.72 book royalty
5. 04/02/09	The Lancet -- \$400 payment for writing
6. 04/08/09	University of California, San Francisco -- \$300 honorarium for speaking
7. 04/24/09	Washington Post -- \$300 payment for writing
8. 05/26/09	New York Times -- \$786 payment for writing
9. 06/16/09	New York Times -- \$700 payment for writing
10. 06/29/09	Washington Post -- \$300 payment for writing
11. 10/22/09	New England Journal of Medicine -- \$1500 payment for writing
12. 11/01/09	Washington Post -- \$300 payment for writing
13. 12/09/09	State University of New York -- \$500 honorarium for speaking
14. 12/10/09	Oxford University Press -- \$325 payment for manuscript review
15.	

FINANCIAL DISCLOSURE REPORT
Page 3 of 9

Name of Person Reporting
Seibel, Cathy

Date of Report
05/06/2010

16.

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.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/06/2010

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. _____	_____	_____

FINANCIAL DISCLOSURE REPORT
Page 5 of 9

Name of Person Reporting
Seibel, Cathy

Date of Report
05/06/2010

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)
1. American Century Vista Fund	A	Dividend	K	T					
2. Astoria Federal Savings account (CD)	A	Interest	L	T	Open	07/18/09	L		
3. Astoria Federal Savings account (savings) (X)	A	Interest	J	T					
4. Astoria Federal Savings account (CD)	A	Interest	K	T	Open	07/18/09	K		
5. Astoria Federal Savings account (savings) (X)	A	Interest	J	T					
6. Astoria Federal Savings account (checking)	A	Interest	J	T	Open	07/18/09	J		
7. AT&T common stock	A	Dividend	J	T					
8. AT&T common stock	A	Dividend	J	T					
9. Brandywine Fund	A	Dividend	L	T					
10. Comcast common stock	A	Dividend	J	T					
11. Comcast common stock	A	Dividend	J	T					
12. Dryden Global Total Return Fund	A	Dividend	J	T					
13. Dreyfus NY Tax-Exempt Bond Fund	B	Dividend	K	T					
14. Enbridge Energy Partners LP common stock	B	Dividend	K	T					
15. Fidelity Magellan Fund (IRA)	A	Distribution	K	T					
16. Fidelity Capital Appreciation Fund (IRA)	A	Distribution	J	T					
17. Fidelity NY Muni Income Fund	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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 P = \$250,000,001 - \$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

Page 6 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/06/2010

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)
18. IBM common stock	A	Dividend			Sold	06/25/09	J	D	
19. Janus Fund	A	Dividend	M	T					
20. John Hancock Patriot Premium Div Fund I common stock	A	Dividend	J	T					
21. Metropolitan Transportation Authority NY Municipal Bonds	A	Interest	J	T					
22. Morgan Stanley Active Assets Money Trust	A	Interest	K	T					
23. NY State 529 College Savings Plan		None	K	T					
24. NY State 529 College Savings Plan		None	K	T					
25. RS Growth Fund	A	Dividend	K	T					
26. TIAA/CREF stock fund (retirement annuity)		None	M	T					
27. TIAA/CREF global equity fund (retirement annuity)		None	K	T					
28. T. Rowe Price Blue Chip Growth Fund IRA	A	Dividend	J	T					
29. T. Rowe Price Blue Chip Growth Fund IRA	A	Dividend	J	T					
30. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
31. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
32. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
33. Vanguard 500 Index Fund (retirement annuity)	C	Dividend	M	T					
34. Vanguard International Growth Fund (retirement annuity)	A	Dividend	L	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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FINANCIAL DISCLOSURE REPORT
Page 7 of 9

Name of Person Reporting
Seibel, Cathy

Date of Report
05/06/2010

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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) 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)
35. Zweig Total Return Fund Inc.	B	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	
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FINANCIAL DISCLOSURE REPORT
Page 8 of 9

Name of Person Reporting	Date of Report
Seibel, Cathy	05/06/2010

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/06/2010

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