

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2004

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

|                                                                                                                                                   |                                                                                                                                                                                                                           |                                                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|
| 1. Person Reporting (Last name, First name, Middle initial)<br><b>Cardamone, Richard J</b>                                                        | 2. Court or Organization<br><b>U.S. Court of Appeals, 2d Cir.</b>                                                                                                                                                         | 3. Date of Report<br><b>5/10/2005</b>                                 |
| 4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><b>U.S. Senior Circuit Judge</b> | 5. Report Type (check appropriate type)<br><br><input type="radio"/> Nomination Date _____<br><input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final                           | 6. Reporting Period<br><br><b>1/1/2004</b><br>to<br><b>12/31/2004</b> |
| 7. Chambers or Office Address<br><br><b>U.S. Courthouse<br/>10 Broad Street<br/>Utica, New York 13501</b>                                         | 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.<br><br>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. \_\_\_\_\_

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

☐ **NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1. \_\_\_\_\_ Pension Benefit from State of New York -- Paid upon retirement from New York State System.

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DISCLOSURE  
OFFICE

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Cardamone, Richard J

Date of Report

5/10/2005

**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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

|    |                                                                                                      |           |
|----|------------------------------------------------------------------------------------------------------|-----------|
| 1. | New York State Employee's Retirement System - Pension (per W-2 from State of New York for year 2004) | 22,765.68 |
|----|------------------------------------------------------------------------------------------------------|-----------|

**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.)DATESOURCE AND TYPE

|    |  |
|----|--|
| 1. |  |
|----|--|

**IV. REIMBURSEMENTS** - transportation, lodging, food, entertainment

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

|    |  |
|----|--|
| 1. |  |
|----|--|

**FINANCIAL DISCLOSURE REPORT**

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

1.

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☐ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. Prudential Life Ins. Co.

Insurance Loan

K

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting  
Cardamone, Richard J

Date of Report  
5/10/2005

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                             | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period                |                                |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------------------------------|-------------------------------------------------|-------------------------------------------|-----------------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div. rent. or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             |                                         |                                             |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                               |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 1. Deutsche Bank                                                                                                            | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 2. IBM                                                                                                                      | A                                       | Dividend                                    | J                                               |                                           |                                                           |                                |                                 |                                |                                                                   |
| 3. IBM                                                                                                                      |                                         | Dividend                                    |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 4. Baxter International                                                                                                     |                                         | Dividend                                    |                                                 | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 5. Exxon Mobil Corp.                                                                                                        | A                                       | Dividend                                    |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 6. HSBC Bank (CD)                                                                                                           | A                                       | Interest                                    | L                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 7. AT&T (common)                                                                                                            |                                         | Dividend                                    |                                                 |                                           | Sold                                                      | 10/25                          | J                               | A                              |                                                                   |
| 8. Bell South                                                                                                               | A                                       |                                             | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 9. Amgen                                                                                                                    |                                         | None                                        | L                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 10. Berkshire Hathaway Inc.                                                                                                 | A                                       | Dividend                                    |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 11. Schlumberger Ltd.                                                                                                       |                                         | Dividend                                    |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 12. Intel Corp.                                                                                                             | A                                       |                                             | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 13. Merck & Co.                                                                                                             |                                         | Dividend                                    |                                                 |                                           | Sold                                                      | 11/10                          | K                               | D                              |                                                                   |
| 14. Schering Plough Corp.                                                                                                   | A                                       | Dividend                                    | J                                               |                                           |                                                           |                                |                                 |                                |                                                                   |
| 15. Royal Dutch Petroleum                                                                                                   | B                                       |                                             | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 16. Ingersoll-Rand Co.                                                                                                      |                                         | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 17. National Fuel Gas Co. NJ                                                                                                |                                         | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 18. SBC Communications Inc.                                                                                                 | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |

|                         |                                |                             |                              |                               |                       |
|-------------------------|--------------------------------|-----------------------------|------------------------------|-------------------------------|-----------------------|
| 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-\$99,000       | L = \$50,001-\$100,000       | M = \$100,001-\$250,000       |                       |
| (See Columns C1 and D3) | N = \$250,000-\$500,000        | O = \$500,001-\$1,000,000   | P1 = \$1,000,001-\$5,000,000 | P2 = \$5,000,001-\$26,000,000 |                       |
|                         | 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               | T = Cash/Market               |                       |
| (See Column C2)         | U = Book Value                 | V = Other                   | W = Estimated                |                               |                       |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting  
Cardamone, Richard J

Date of Report  
5/10/2005

## VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                             | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period                |                                |                                 |                                    |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------------------------------|-------------------------------------------------|-------------------------------------------|-----------------------------------------------------------|--------------------------------|---------------------------------|------------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-P)        | (2)<br>Type (e.g.<br>div. rent. or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                    |                                                                   |
|                                                                                                                             |                                         |                                             |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code<br>1 (A-<br>H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 19. Wachovia Corp.                                                                                                          | A                                       | Dividend                                    | K                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 20. CISCO Sys. Inc.                                                                                                         |                                         | Dividend                                    |                                                 |                                           | Sold                                                      | 6/10                           |                                 | D                                  |                                                                   |
| 21. ImClone Systems Inc.                                                                                                    |                                         | None                                        | J                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 22. American International Group                                                                                            |                                         | Dividend                                    |                                                 |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 23. Galaxy Fund                                                                                                             |                                         | None                                        | J                                               | T                                         |                                                           |                                |                                 |                                    |                                                                   |
| 24. Flextronics Int'l Ltd.                                                                                                  |                                         |                                             | K                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 25. Fisher Scientific                                                                                                       |                                         |                                             | K                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 26. FPL Group Inc. (common)                                                                                                 | A                                       |                                             | J                                               | T                                         |                                                           |                                |                                 |                                    |                                                                   |
| 27. Danske Bank ADR                                                                                                         |                                         | None                                        | J                                               |                                           | Buy                                                       | 12/22                          | J                               |                                    |                                                                   |
| 28. Symantec Corp.                                                                                                          |                                         |                                             |                                                 |                                           | Buy                                                       | 12/22                          | J                               |                                    |                                                                   |
| 29. ChevronTexaco Corp.                                                                                                     |                                         | Dividend                                    | K                                               | T                                         | Buy                                                       | 10/6                           | K                               |                                    |                                                                   |
| 30. Air Products & Chemicals Inc.                                                                                           |                                         |                                             | K                                               | T                                         | Buy                                                       | 11/19                          | K                               |                                    |                                                                   |
| 31. Helen of Troy                                                                                                           |                                         |                                             | J                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 32. Helen of Troy                                                                                                           | B                                       | Dividend                                    |                                                 |                                           | Sold                                                      | 8/18                           | J                               | B                                  |                                                                   |
| 33. Medco Health Solutions (Spinoff of Merck & Co.)                                                                         | A                                       | Dividend                                    | J                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 34. Medco Health Solutions                                                                                                  |                                         | Dividend                                    |                                                 |                                           | Sold                                                      | 6/10                           | J                               | C                                  |                                                                   |
| 35. Comcast Corp. (Spinoff of AT&T)                                                                                         | A                                       | Dividend                                    | J                                               |                                           |                                                           |                                |                                 |                                    |                                                                   |
| 36. Comcast Corp.                                                                                                           | A                                       | Dividend                                    |                                                 |                                           | Sold                                                      | 10/25                          | J                               | A                                  |                                                                   |

|                         |                                |                             |                              |                               |                       |
|-------------------------|--------------------------------|-----------------------------|------------------------------|-------------------------------|-----------------------|
| 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       |                       |
| (See Columns C1 and D6) | N = \$250,000-\$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 |                             | P = More than \$50,000,000   |                               |                       |
| 3. Value Method Codes   | Q = Appraised                  | R = Cost (Real Estate Only) | S = Assessment               | T = Cash/Market               |                       |
| (See Column C2)         | U = Book Value                 | V = Other                   | W = Estimated                |                               |                       |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting  
Cardamone, Richard J

Date of Report  
5/10/2005

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                             | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period                |                                |                                 |                                    |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------------------------------|-------------------------------------------------|-------------------------------------------|-----------------------------------------------------------|--------------------------------|---------------------------------|------------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-F)        | (2)<br>Type (e.g.<br>div. real. or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                    |                                                                   |
|                                                                                                                             |                                         |                                             |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code<br>1 (A-<br>F) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 37. Wells Fargo & Co. (Corporate Bond)                                                                                      |                                         | None                                        | K                                               | T                                         |                                                           |                                |                                 |                                    |                                                                   |
| 38. Wells Fargo & Co.                                                                                                       |                                         | Interest                                    |                                                 |                                           | Sold                                                      | 10/6                           | K                               | B                                  |                                                                   |

|                         |                                |                             |                                 |                               |                       |
|-------------------------|--------------------------------|-----------------------------|---------------------------------|-------------------------------|-----------------------|
| 1. Amount/Gain Codes:   | A = \$1,000 or less            | B = \$1,001-\$2,900         | C = \$2,901-\$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   | H = \$1,000,001-\$5,000,000     | I = 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       |                       |
| (See Columns C1 and D3) | N = \$250,000-\$500,000        | O = \$500,001-\$1,000,000   | P1 = \$1,000,001-\$6,000,000    | P2 = \$6,000,001-\$25,000,000 |                       |
|                         | P3 = \$25,000,001-\$50,000,000 |                             | P4 = \$50,000,001-\$100,000,000 |                               |                       |
| 3. Value Method Codes   | Q = Appraised                  | R = Cost (Real Estate Only) | S = Assessed                    | T = Cash/Market               |                       |
| (See Column C2)         | U = Book Value                 | V = Other                   | W = Estimated                   |                               |                       |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Baron, Richard J

Date of Report

5/10/2005

## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

- 1) Part VII, page 2, line 31 - This investment was inadvertently omitted from previous report.
- 2) Part VII, page 2, line 33 - This investment was not purchased but was acquired as a spinoff of Merck & Co., which is listed on line 13. It was also inadvertently omitted from previous report.
- 3) Part VII, page 2, line 35 - This investment was not purchased but was acquired as a spinoff of AT&T, which is listed on line 7. It was also inadvertently omitted from previous report.
- 4) Part VII, page 3, line 37 - This investment was inadvertently omitted from previous report.

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Cardamone, Richard J

Date of Report

5/10/2005

**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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

May 10, 2005

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY 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