

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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

1. Person Reporting (last name, first, middle initial) Berman, Richard M.	2. Court or Organization U.S. District Court -S.D.N.Y.	3. Date of Report 5/12/2009
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 01/01/2008 to 12/31/2008
7. Chambers or Office Address U.S. District Court 40 Centre Street (Room 201) 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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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. _____	_____
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. 2008	Barnard College
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. First Amendment Center	11/18/2008	Washington, D.C.	Justice & Journalism Conf	Transportation, meals
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. Bank of America (formerly Greenpoint Bank)	Mortgage	N
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Apartment (NY City)	E	Rent	N	W					
2. Property Suffolk County, NY (House & Cottage)	C	Rent	N	W					
3. Property, Suffolk County, NY	D	Rent	K	W					
4. Aztex Limited Partnershi (real estate)	A	Distribution	J	W					
5. Vanguard 500 Index Trust	C	Dividend	M	T					
6. Vanguard Total Int'l Index	B	Dividend	K	T					
7. Vanguard Total Stock Index	B	Dividend	K	T					
8. U.S. Treasury Bill	D	Interest			Buy (add'l)	1/10	O		
9.					Matured (part)	1/10	O		
10.					Buy (add'l)	2/20	K		
11.					Matured (part)	2/21	K		
12.					Sold (part)	3/13	K	A	
13.					Matured (part)	3/20	O		
14.					Matured (part)	4/17	K		
15.					Buy (add'l)	7/15	M		
16.					Matured	10/16	M		
17. U.S. Treasury Notes	D	Interest	M	T	Matured (part)	4/30	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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18.					Sold (part)	6/4	M	C	
19.					Sold (part)	6/11	K	A	
20.					Sold (part)	6/23	L	A	
21. GE Common Stock	B	Dividend	K	T	Sold (part)	11/12	J		
22.					Buy (add'l)	11/26	J		
23. Microsoft Common Stock	A	Dividend	J	T	Sold (part)	4/23	J		
24.					Sold (part)	7/23	J		
25.					Sold (part)	12/9	K		
26. Plum Creek Timber Co.	A	Dividend			Sold	11/25	J		
27. Exxon Mobil	A	Dividend	K	T					
28. Scarsdale, NY Sch. Dist.	A	Interest			Sold	8/28	K	A	
29. NYS Env. Facs. Corp. Clean Water	D	Interest			Sold	5/27	K	A	
30. Rye City, NY Pub Impt	C	Interest			Sold	9/12	L		
31. NYS Mort Agency	C	Interest			Sold	5/27	M	B	
32. NYS Power Authority	B	Interest	K	T	Sold (part)	1/2	K	B	
33. NYS Dorm Authority	D	Interest	K	T	Buy (add'l)	3/6	L		
34.					Buy (add'l)	5/15	M		

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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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				
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35.					Sold (part)	6/12	L		
36.					Sold (part)	11/18	M		
37. NYS Dorn Authority Mental Heath	B	Interest	K	T					
38. NYS Dorn Authority Columbia		None			Sold	5/28	L	A	
39. Metro Trans Authority	C	Interest	K	T	Sold (part)	6/12	L	A	
40.					Buy (add'l)	3/6	K		
41. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev	D	Interest	L	T	Sold (part)	6/12	L	B	
42.					Sold (part)	7/21	L	B	
43. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev	B	Interest	L	T					
44. Icon Energy Fund	A	Dividend	J	T					
45. Icon Healthcare Fund	B	Dividend	K	T					
46. American Fund New Perspective Class F	B	Dividend	K	T					
47. Oakmark Global Fund	B	Dividend	K	T					
48. Fed Ex Corporation	A	Dividend			Sold (part)	5/20	K		
49.					Sold (part)	12/9	K		
50. Google Inc. Class A		None			Buy	10/3	K		
51.					Sold	11/25	K		

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)
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S = Assessment
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52. Berkshire Hathaway B		None	K	T	Sold (part)	11/18	K		
53.					Buy (add'l)	11/26	K		
54. Goldman Sachs	A	Dividend	K	T	Buy (add'l)	2/7	K		
55.					Buy (add'l)	10/3	J		
56.					Sold (part)	11/18	K		
57. Franklin Income Fund	A	Dividend	J	T	Sold (part)	1/22	J		
58. Proctor & Gamble, Co.	A	Dividend	K	T					
59. Amer. Funds Fundamental	A	Dividend	K	T					
60. Dodge & Cox Int'l Stock Fund	A	Dividend	J	T					
61. American Growth Fund	A	Dividend	L	T	Buy (add'l)	1/2	K		
62.					Sold (part)	10/29	K		
63. Johnson & Johnson	B	Dividend	M	T					
64. Publicis N.A.	A	Dividend			Sold	5/16	N	G	
65. Dodge & Cox Stock Fund	A	Dividend	J	T					
66. Publicis Group ORAs		None			Sold	12/5	N		
67. Publicis Group Warrants		None	K	T	Sold (part)	4/29	K	D	
68.					Sold (part)	12/24	J	B	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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

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69. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	J	T					
70. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	J	T					
71. Firsthand Technology Value Fund		None	J	T					
72. Waste Management Inc.	A	Dividend	K	T	Buy (add'l)	2/4	J		
73.					Buy (add'l)	12/22	J		
74. United Technologies	A	Dividend	K	T					
75. Wal-Mart Stores Inc.	A	Dividend	K	T					
76. Walgreen Co	A	Dividend			Sold	12/22	J		
77. Raytheon	A	Dividend	J	T					
78. Pepsico	A	Dividend	J	T					
79. Spectra Energy	A	Dividend	J	T	Buy	2/14	J		
80. PPG Industries	A	Dividend	J	T	Sold (part)	11/12	J		
81. Kimberly Clark	B	Dividend	K	T					
82. Forest City Ent. (A)	A	Dividend			Sold	11/12	J		
83. Duke Energy	A	Dividend	J	T					
84. EMC Corp. - Mass		None	J	T					
85. Encana	A	Dividend	J	T	Sold (part)	5/12	J	C	

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(See Columns B1 and D4)

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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

P3 = \$25,000,001 - \$50,000,000

P4 = More than \$50,000,000

3. Value Method Codes

(See Column C2)

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86. E.I. Dupont	A	Dividend	J	T	Buy (add'l)	4/23	J		
87.					Sold (part)	7/3	J		
88.					Sold (part)	11/12	J		
89. Cisco		None	J	T	Sold (part)	11/12	J		
90. BP	A	Dividend	J	T					
91. American Express	A	Dividend			Sold	10/12	J		
92. Liberty Media (A & B)		None			Sold (part)	5/7	L	F	
93.					Sold (part)	12/3	J		
94.					Sold (part)	12/4	J		
95.					Sold (part)	12/5	J		
96.					Sold	12/8	J		
97. Rogers Communications	A	Dividend			Sold	1/24	K	C	
98. NYS Twy Auth. (Highway & Bridge) (RMB M)	B	Interest	L	T	Sold (part)	5/27	L	A	
99.					Buy (add'l)	11/19	L		
100. NYS Twy Auth. Personal Inc Tax	C	Interest	M	T	Buy	11/21	M		
101. MTA (NY) Muni Bond	C	Interest	K	T	Sold (part)	5/27	L	B	
102.					Sold (part)	6/13	M	C	

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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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103. NYS Dorm Auth. (Revs)	D	Interest	N	T	Buy (add'l)	6/3	M		
104.					Buy (add'l)	6/4	L		
105.					Buy (add'l)	11/13	N		
106.					Sold (part)	11/18	L		
107. Triborough B & T Auth.	E	Interest	M	T	Buy (add'l)	3/7	K		
108.					Sold (part)	5/27	M	C	
109.					Sold (part)	5/28	L	B	
110. American Funds Washington Mutual Invest ments	A	Dividend	K	T					
111. Merrill Lynch MM Fund	B	Int./Div.	M	T					
112. Spartan 500 Index Fid Adv	C	Int./Div.	L	T					
113. Webster Bank 8-mo CD	A	Interest	L	T					
114. Fundamental Investors Fund	A	Dividend	K	T					
115. IBM	A	Dividend	J	T					
116. Western Asset MM Fund	A	Dividend			Redeemed (part)	10/1	J		
117.					Redeemed	10/7	K		
118. New Perspective Fund	B	Dividend	K	T					
119. TCW Value Opportunities Fund	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)

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V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

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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

Berman, Richard M.

Date of Report

5/12/2009

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. UPS Class B	A	Dividend	J	T					
121. Puerto Rico Pub Bldgs Auth Rev	C	Interest	M	T	Buy	11/17	M		
122. New York City MWF AU W&S General Resoltn Rev	B	Interest			Buy	6/23	L		
123.					Sold	11/21	L		
124. New York City Transitional Fin Auth Rev	B	Interest			Buy	5/15	L		
125.					Sold	11/21	K		
126. White Plains Pub Impt	B	Interest			Buy	5/27	L		
127.					Sold	11/13	K		
128. Poughkeepsie Town NY Libr Purp	B	Interest			Buy	5/27	M		
129.					Sold	11/19	L		
130. Southhold NY Pub Impt	C	Interest			Buy	5/15	M		
131.					Sold (part)	11/13	L		
132.					Sold	11/18	K		
133. Erie County NY Pub Impt	B	Interest			Buy	6/4	L		
134.					Sold	11/13	L		
135. Erie Co NY IDA Sch FacI	C	Interest			Buy	5/15	L		
136.					Buy (add'l)	6/4	L		

1. Income Gain Codes:

(See Columns B1 and D4)
A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes

(See Column C2)
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

Berman, Richard M.,

Date of Report

5/12/2009

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	11/21	L		
138.					Sold	11/24	L		
139. Auburn NY Pub Impt.	B	Interest			Buy	5/27	M		
140.					Sold	11/19	L		
141. Glens Falls NY City Sch Dist	A	Interest			Buy	6/11	K		
142.					Sold	11/24	K		
143. Syracuse NY Pub Impt	B	Interest			Buy	6/11	L		
144.					Sold	11/13	L		
145. Suffolk NY Pub Imprvmt	B	Interest			Buy	5/28	M		
146.					Sold	11/18	L		
147. Watkins Glen NY Cent Sch Dist	B	Interest			Buy	10/29	K		
148.					Sold	12/12	K		
149. New York City Mun Wtr Fin Auth Wtr & Swr Sys Rev	B	Interest			Buy	6/4	L		
150.					Buy (add'l)	6/5	K		
151.					Sold	11/13	L		
152. New York City G/O Ser A	C	Interest			Buy	5/27	M		
153.					Sold	11/19	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

Berman, Richard M.

Date of Report

5/12/2009

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. New York NY G/O Ser C	B	Interest	L	T	Buy	10/20	K		
155.					Buy (add'l)	11/21	L		
156.					Sold (part)	12/11	K		
157. New York NY Ser C U/T	A	Interest	L	T	Buy	11/18	L		
158. New York NY Ser D RFDG G/O	B	Interest	N	T	Buy	11/13	M		
159.					Buy (add'l)	11/19	N		
160. New York NY Gen Oblig Ser D	B	Interest			Buy	6/11	L		
161.					Sold	11/19	L		
162. New York NY G/O Ser F	B	Interest			Buy	5/27	L		
163.					Sold	11/24	K		
164. New York NY RFDG Ser G U/T	A	Interest	L	T	Buy	12/17	L		
165. New York NY Oblig BDS-G	A	Interest	L	T	Buy	10/28	L		
166. New York City NY RFDG Ser H	B	Interest	M	T	Buy	11/13	M		
167. New York City G/O Ser I	B	Interest	M	T	Buy	11/24	M		
168. New York NY Ser J U/T	B	Interest			Buy	3/6	K		
169.					Sold	5/27	K		
170. New York NY Fiscal 2008 Ser L	B	Interest			Buy	6/5	L		

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

Berman, Richard M.

Date of Report

5/12/2009

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold	11/13	K		
172. Chevron Corp	A	Dividend	J	T	Buy	11/25	J		
173. Citigroup	A	Dividend	J	T	Buy	12/8	J		
174. Dominion Res Inc New VA	A	Dividend	J	T	Buy	12/8	J		
175. Verizon Communications	A	Dividend	J	T	Buy	11/26	J		
176. Priceline.com Inc.		None			Buy	4/23	J		
177.					Sold	7/3	J		
178. Burlington Santa Fe	A	Dividend			Buy	3/31	J		
179.					Sold	11/18	J		
180. Franklin Gold & Precious	A	Dividend			Buy	1/22	J		
181.					Sold	11/18	J		
182. Blackrock US Opportunities C		None			Buy	1/2	L		
183.					Sold	10/29	K		
184. American Europacific Grw C	A	Dividend			Buy	1/2	L		
185.					Sold	9/29	K		
186. Absolute Return Barrier Note		None			Buy	3/24	K		
187.					Sold	10/29	K		

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M.

Date of Report

5/12/2009

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ **NONE** (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

188. Artisan Mid Cap Value Fund	B	Dividend	K	T					
189.									
190.									
191.									
192.									

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

Berman, Richard M.

Date of Report

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

Part VII. Investments and Trusts.

(1) Nine stocks or funds were inadvertently included in the 2007 Report as follows:

- *Liberty Global Inc. was sold on or about 10/30/2007 and on or about 11/2/2007. The value codes were L and J and the gain codes were F and C for the sales.
- *Schwab Value Advantage was sold on or about 12/26/2007. The value code was L and the gain code reflected a loss.
- *TCW Galileo Value Oppty was sold in 2007; we have been unable to locate the value and gain/loss information. The value code in 2006 was K.
- *Lockheed Martin was sold on or about 2/27/2007. The value code was K and the gain code was D.
- *Sunrise Senior Living was sold on or about 2/27/2007. The value code was J and the gain code was A.
- *American Funds New Economy was sold on or about 2/8/2006. The value code was J and the gain code was C.
- *American Funds Capital Income Builder was sold on or about 2/26/2007. The value code was J and the gain code was A.
- *Nisource Inc. was sold on or about 11/6/2007. The value code was J and the gain code reflected a loss.
- *Schlumberger Ltd. was sold on or about 2/28/2007. The value code was J and the gain code was A.

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Name of Person Reporting

Berman, Richard M.

Date of Report

5/12/2009

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