

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, middle initial) Richard Owen		2. Court or Organization U.S. District Court Southern District of New York		3. Date of Report 5/10/05
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior-Full Time U.S. District Judge		5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual ____ Final		6. Reporting Period 01/01/04-12/31/04
7. Chambers or Office Address U.S. Courthouse 40 Centre Street New York, NY 10007		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____		

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1 Trustee

Manhattan School of Music

2 President and Board Member

NY Lyric Opera Co.

3

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

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements.)

1

2

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

1 Richard Owen

Music Royalties-Amer.Society of Composers, Authors and Publishers (ASCAP)

\$ 250.00

2 Wife

Opera and concert singer; Faculty Member-Manhattan School of Music; Assistant Professor-Barnard College-in voice

\$

3

\$

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.)

1

2

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION

xx

NONE (No such reportable reimbursements.)

1

2

3

4

5

6

7

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE

xx

NONE (No such reportable gifts.)

1

\$

2

\$

3

\$

4

\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

xx

NONE (No reportable liabilities.)

1

2

3

4

5

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000
N=\$250,001-\$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 P4=\$50,000,001 or more

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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VII. Page 2 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									

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Name of Person Reporting: _____ Date of Report: _____

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	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1 ACERE SYSTEMS CLA			J	T					
2 ACERE SYS CL B			J	T					
3 AMERICAN GREETINGS CLA	A	DIV	J	T					
4 BEACH GROUP INC. NEW			J	T					
5 HJ HEINZ	A	DIV	J	T					
6 HOME DEPOT	A	DIV	J	T					
7 INTEL	A	DIV	J	T					
8 KIMBERLY CLARK	A	DIV	J	T					

1	Income/Gain Codes: (See Col. B1, 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 H2=More than \$5,000,000	E=\$15,001-\$50,000
2	Value Codes: (See Col. C1, D3)	J=\$15,000 or less N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000 P4=More than \$5,000,000	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
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☐ NONE (No reportable income, assets, or transactions)									
25 NEENAH PAPER					SELL	12-2	J	A	
26 FREESCALE SEMI CLB					SPW OFF SHRS REC	12-3	J		SPW-OFF FROM MOTOROLA
27 FREESCALE SEMI CLB					SELL	12-6	J	A	
28 BANK AMERICA 6-625 6-15-04	A	INT			RED	6-15	K	A	
29 CATS TERM-PRN 0% 5-15-04	A	INT			RED	5-15	K	A	
30 SMUCKER JRM	A	DIV			SELL	10-20	J	A	
31									
32 SOUTHERN	A	DIV	J	T					
33 INTERPUBLIC	A	DIV	J	T					
34 PENN WEST PET	B	DIV	J	T					
35 UNICOM	A	DIV	J	T					
36 SBC COMMUNICATIONS	A	DIV	J	T					
37 UNITED TECHNOLOGIES	A	DIV	J	T					
38 AMERICAN ELECTRIC POWER	B	DIV	K	T					
39 AMERITECH	A	DIV	J	T					
40 BELL SOUTH	A	DIV	J	T					

GLOBAL CROSSING LTD

A T

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, D3)	J=\$15,000 or less N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000 P4=More than \$50,000,000	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
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☐ NONE (No reportable income, assets, or transactions)									
41 AGERE SYSTEMS CL A			J	T					
42 AGERE SYS CL B			J	T					
43 AMERICAN EXPRESS	A	DIV	J	T					
44 AMERICAN GREETINGS CLA	A	DIV	J	T					
45 INTEL	A	DIV	J	T					
46 LUCENT TECH			J	T					
47 MOTOROLA	A	DIV	J	T					
48 PROCTOR & GAMBLE	A	DIV	K	T					
49 TEMPLETON DRAGONFUND	A	DIV	J	T					
50 NUVEEN NY DIV ADV MGMT FUND	A	DIV	J	T					
51 CIT 5 1/2% 11-30-07	A	INT	J	T					
52 STRIPS - US TREAS 0% 8-15-08	A	INT	K	T					
53 FHLB 5.015% 10-8-08	A	INT	J	T					
54 S. HUNTINGTON NY VFSD 3.625% 5-15-11	A	INT	J	T					
55 NY ST TWA AUTH 3.75% 4-1-12	A	INT	J	T					
56 RYE BROOK NY 3.375% 4-15-08	A	INT	J	T					

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☐ NONE (No reportable income, assets, or transactions)									
57 SUFFOLK CO NY 3.375 4-15-13	A	INT	J	T					
58 FREESCALE SEMI CLB					SPW OFF SHRS REC	12-3	J		SPW OFF FROM MOTOROLA
59 FREESCALE SEMI CLB					SELL	12-6	J	A	
60 SMUCKER JM	A	DIV			SELL	10-20	J	A	
61 UTS EMPIRE ST MUNI TAX EXTR 107	A	INT			RED	10-15	J	A	
62 UTS EMPIRE ST MUNI TAX EX TR 107					RET OF PRIN	4-1	J	A	
63 UTS EMPIRE ST MUNI TAX EX TR 107					RET OF PRIN	5-3	J	A	
64 UTS EMPIRE ST MUNI TAX EX TR 107					RET OF PRIN	6-1	J	A	
65 UTS EMPIRE ST MUNI TAX EX TR 107					RET OF PRIN	8-2	J	A	
66									
67									
68									

1	Income/Gain Codes: (See Col. B1, 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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)**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 28 U.S.C. § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature _____

Date 5/10/05

NOTE: ANY PERSON 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