

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
UNITED STATES COURTHOUSE
40 CENTRE STREET
NEW YORK, NEW YORK 10007
(212) 805-6715

CHAMBERS OF
RICHARD M. BERMAN
UNITED STATES DISTRICT JUDGE

June 14, 2010

Honorable Bobby R. Baldock, Chair
Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

RECEIVED
2010 JUN 21 A 9:05
FINANCIAL
DISCLOSURE OFFICE

Re: Calendar Year 2009 Filing

Dear Judge Baldock:

Thank you for your letter dated June 9, 2010 regarding my 2009 annual financial disclosure report, dated May 3, 2010.

It appears that Part VII of the 2008 annual financial disclosure report contained duplicate entries for New Perspective Fund, i.e., American Fund New Perspective Class F (page 6, line 46) and New Perspective Fund (page 11, line 120). Part VII of the 2009 annual financial disclosure report (page 9, line 102) correctly reflects the 2009 holdings for New Perspective Fund.

Richard M. Berman

Berman, Richard M.

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) Berman, Richard M.	2. Court or Organization U.S. District Court -S.D.N.Y.	3. Date of Report 5/3/2010
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 01/01/2009 to 12/31/2009
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. _____	_____

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. 2009	Barnard College
2. 2009	Wellesley College
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.				
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	Mortgage on Rental Prop. (Pt. VII, line 1)	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 mm/dd/yy	(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)	D	Rent	N	W					
3. Property, Suffolk County, NY	D	Rent	K	W					
4. Aziex Limited Partnership (real estate)	B	Distribution	J	W					
5. Vanguard 500 Index Trust	C	Dividend	N	T					
6. Vanguard Total Int'l Index	B	Dividend	L	T					
7. Vanguard Total Stock Index	B	Dividend	L	T					
8. U.S. Treasury Notes	B	Interest			Matured (part)	02/15/09	K		
9.					Matured	02/17/09	K		
10. GE Common Stock	A	Dividend	J	T	Sold (part)	1/20/09	J		
11.					Sold (part)	08/05/09	J		
12.					Sold (part)	11/02/09	J		
13. Microsoft Common Stock	A	Dividend	J	T	Sold (part)	08/05/09	J		
14. Exxon Mobil	A	Dividend	J	T	Sold (part)	08/05/09	J	A	
15.					Sold (part)	11/16/09	J	A	
16. NYS Power Authority	A	Interest			Sold (part)	01/02/09	J	A	
17.					Sold	09/17/09	J	A	

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
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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 I (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 I (A-H)	(5) Identity of buyer/seller (if private transaction)
18. NYS Donn Authority	B	Interest	K	T					
19. NYS Donn Authority Mental Health	B	Interest	K	T					
20. Metro Trans Authority	B	Interest	K	T					
21. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev	A	Interest			Sold	06/09/09	L	C	
22. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev		None			Sold	06/09/09	L	C	
23. Icon Energy Fund		None	J	T					
24. Icon Healthcare Fund		None			Sold	02/02/09	K		
25. Oakmark Global Fund		None			Sold	02/11/09	J		
26. Berkshire Hathaway B		None	K	T	Sold	02/03/09	K	B	
27.					Buy	08/11/09	K		
28. Goldman Sachs	A	Dividend	L	T	Buy (add'l)	03/23/09	J		
29.					Buy (add'l)	08/11/09	K		
30. Franklin Income Fund	A	Dividend			Sold	02/13/09	K		
31. Proctor & Gamble Co.	A	Dividend	J	T	Sold (part)	01/06/09	J	A	
32.					Sold (part)	08/05/09	J	A	
33. Amer. Funds Fundamental F	A	Dividend	K	T					
34. American Growth Fund		None			Sold (part)	01/15/09	K		

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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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)
35.					Sold (part)	03/23/09	J		
36.					Sold	03/23/09	K		
37. Johnson & Johnson	A	Dividend	J	T	Sold (part)	01/06/09	K		
38.					Sold (part)	08/05/09	J	A	
39.					Sold (part)	11/16/09	J	A	
40. Dodge & Cox Stock Fund		None			Sold	02/04/09	J		
41. Publicis Group Warrants		None			Sold (part)	01/02/09	J	B	
42.					Sold (part)	01/05/09	K	E	
43.					Sold	01/06/09	J	A	
44. Oppenheimer Main Street Small Cap Fund Class A		None			Sold	02/02/09	J		
45. Firsthand Technology Value Fund		None			Sold	02/03/09	J		
46. Waste Management Inc.	A	Dividend	J	T	Sold (part)	01/06/09	J		
47.					Sold (part)	11/16/09	J		
48. United Technologies	A	Dividend			Sold (part)	01/06/09	J		
49.					Sold (part)	08/05/09	J		
50.					Sold	12/11/09	J	A	
51. Wal-Mart Stores Inc.	A	Dividend			Sold	01/06/09	K	C	

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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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)
52. Raytheon	A	Dividend	J	T	Sold (part)	01/06/09	J	A	
53.					Sold (part)	08/05/09	J		
54. Pepsico	A	Dividend	J	T	Sold (part)	01/06/09	J		
55.					Sold (part)	08/05/09	J		
56. Spectra Energy		None			Sold	01/06/09	J		
57. PPG Industries	A	Dividend	J	T	Sold (part)	08/05/09	J		
58. Kimberly Clark	A	Dividend			Sold (part)	01/06/09	J		
59.					Sold (part)	08/05/09	J		
60.					Sold	11/02/09	J		
61. Forest City Ent. A	A	Dividend			Sold (part)	08/05/09	J		
62.					Sold	11/02/09	J		
63. Duke Energy	A	Dividend	J	T	Sold (part)	01/06/09	J		
64.					Sold (part)	08/05/09	J		
65.					Sold (part)	11/16/09	J		
66. EMC Corp. - Mass		None	J	T	Sold (part)	08/05/09	J	A	
67. Encana	A	Dividend	J	T	Sold (part)	01/06/09	J	A	
68.					Sold (part)	08/05/09	J	A	

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 P1 = \$25,000,001 - \$50,000,000	U = \$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
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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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)
69. E.I. Dupont	A	Dividend			Sold (part)	08/05/09	J		
70.					Sold	11/02/09	J		
71. Cisco		None	J	T	Sold (part)	08/05/09	J		
72. BP		None			Sold	01/06/09	J		
73. NYS Twy Auth. (Highway & Bridge)	C	Interest	L	T					
74. NYS Twy Auth. Personal Income Tax	B	Interest			Sold (part)	06/05/09	M	C	
75.					Sold	06/09/09	L	C	
76. MTA (NY) Muni Bond	A	Interest			Sold	12/08/09	K	A	
77. NYS Donn Auth. (Revs)	D	Interest	M	T	Sold (part)	06/05/09	M	C	
78.					Sold	10/14/09	M	C	
79.					Buy	10/16/09	M		
80. Triborough B&T Auth.	D	Interest	L	T	Sold (part)	10/22/09	K	B	
81.					Sold (part)	10/22/09	L	C	
82.					Sold (part)	11/02/09	J	A	
83.					Sold (part)	12/08/09	K	B	
84. American Funds Washington Mutual Investments	A	Dividend			Sold	08/19/09	K		
85. Merrill Lynch MM Fund	A	Interest			Buy (add'l)	1/16/09	K		

1. Income Gain Codes.
(See Columns B1 and D4)

A = \$1,000 or less
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C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

F = \$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
I = Bank Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
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86.					Buy (add'l)	1/21/09	K		
87.					Redeemed (part)	3/16/09	J		
88.					Redeemed (part)	3/23/09	K		
89.					Redeemed (part)	3/27/09	J		
90.					Buy (add'l)	4/13/09	J		
91.					Buy (add'l)	4/20/09	J		
92.					Redeemed (part)	4/21/09	K		
93.					Redeemed (part)	5/22/09	K		
94.					Redeemed (part)	6/8/09	K		
95.					Buy (add'l)	6/30/09	K		
96.					Redeemed	7/31/09	M		
97. Spartan 500 Index Fid Adv	A	Dividend	L	T	Sold (part)	2/10/09	K		
98. Webster Bank 8-mo CD	B	Interest			Matured	11/17/09	L		
99. Fundamental Investors Fund	A	Dividend			Sold (part)	08/19/09	K		
100.					Sold	08/19/09	K	A	
101. IBM	A	Interest			Sold	07/17/09	J	B	
102. New Perspective Fund	A	Dividend	K	T					

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
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103. TCW Value Opportunities Fund		None			Sold	09/10/09	K		
104. UPS Class B	A	Dividend	J	T	Sold (part)	08/05/09	J		
105. Puerto Rico Pub Bldgs Auth Rev	D	Interest	L	T	Sold	06/05/09	M	C	
106.					Buy	06/09/09	L		
107. New York NY G/O Ser C		None			Sold	06/23/09	L	A	
108. New York NY Ser C U/T	C	Interest	K	T	Sold (part)	07/16/09	K	A	
109. New York NY Ser D RFDG G/O	D	Interest			Sold (part)	06/09/09	M	C	
110.					Sold (part)	06/29/09	M		
111.					Sold (part)	07/16/09	M	B	
112.					Sold	10/14/09	M	C	
113. New York NY RFDG Ser G U/T	C	Interest	L	T					
114. New York NY Oblg BDS-G	C	Interest			Sold	10/14/09	L	D	
115. New York City NY RFDG Ser H	D	Interest			Sold (part)	09/17/09	M	C	
116.					Sold	10/30/09	L	B	
117. New York City G/O Ser I	D	Interest			Sold	07/30/09	M	C	
118. Chevron Corp		None			Sold	01/20/09	J		
119. Citigroup		None			Sold	01/20/09	J		

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

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 - \$3,000,000
P4 = More than \$50,000,000

I1 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$3,000,001 - \$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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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-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
120.					Buy	03/16/09	J		
121.					Buy (add'l)	05/19/09	J		
122.					Buy (add'l)	10/20/09	J		
123.					Sold (part)	10/21/09	J	B	
124.					Sold	10/22/09	J		
125. Dominion Res Inc New VA		None			Sold	02/23/09	J		
126. Verizon Communications	A	Interest			Sold	04/09/09	J	A	
127. Artisan Mid Cap Value Fund		None			Sold	02/23/09	J		
128. Fidelity GNMA Fund	B	Dividend	K	T	Buy	2/10/09	K		
129. FIA Card Services NA RASP Account	A	Interest	K	T	Buy	7/31/09	M		
130. The Scotts Miracle Grow	A	Dividend			Buy	4/21/09	J		
131.					Sold	09/02/09	J	A	
132. Google Inc Class A		None	K	T	Buy	03/23/09	K		
133.					Buy (add'l)	08/11/09	K		
134. Nordic American Takt Shpg	A	Dividend	J	T	Buy	03/27/09	J		
135. CD Goldman Sachs	B	Interest	L	T	Buy	02/04/09	L		
136. Fairholme Fund (X)	B	Dividend	M	T	Buy (add'l)	09/14/09	K		

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 = \$15,001 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

I12 = 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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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)
137. Ishares FTSE Xinhua HK	A	Dividend	J	T	Buy	09/15/09	J		
138. Concho Resources		None			Buy	06/08/09	J		
139.					Sold	12/23/09	J	B	
140. Rackspace Hosting		None			Buy	06/08/09	J		
141.					Sold	12/23/09	J	A	
142. Waddell & Reed Finl A	A	Dividend			Buy	06/03/09	J		
143.					Sold	09/23/09	J	A	
144. BP PLC SPON ADR	A	Dividend	J	T	Buy	09/15/09	J		
145. Liberty Global Inc Ser A		None	J	T	Buy	11/20/09	J		
146. India Fund Inc		None	J	T	Buy	11/20/09	J		
147. Call C (X)		None			Sold	1/15/09	J	B	
148. Ishares Russell 2000 Index FD		None	K	T	Buy	09/29/09	K		
149. UTS SPDR Trust Ser I	A	Dividend	K	T	Buy	08/14/09	J		
150.					Buy (add'l)	09/10/09	K		
151. JP Morgan Emerging Markets Equity Fund CIA	A	Dividend	L	T	Buy	09/10/09	K		
152. Berkshire Hathaway Inc Notes	B	Interest	K	T	Buy	02/02/09	K		
153. NY State Dorm Auth North Shore L.L.	D	Interest	M	T	Buy	01/26/09	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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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)
154. NY State Dorm Auth Lease Rev St Univ Dorm	C	Interest	M	T	Buy	01/06/09	M		
155. Puerto Rico Pub Bldgs Auth Rev		None	M	T	Buy	09/23/09	M		
156. Omaha Neb Omaha Convention Center	B	Interest	K	T	Buy	03/09/09	K		
157. NY State Dorm Auth Revs St Univ	A	Interest	J	T	Buy	06/09/09	J		
158. Puerto Rico Comwith Pub Impt Ser A	B	Interest	L	T	Buy	06/09/09	L		
159. New York NY Rfdg-Ser F	A	Interest	J	T	Buy	06/09/09	J		
160. New York NY Ser F	A	Interest	K	T	Buy	06/09/09	K		
161. New York NY Ser J U/T B/E		None	M	T	Buy	12/28/09	M		
162. New York NY Ser J B/E U/T	A	Interest	J	T	Buy	06/09/09	J		
163. Puerto Rico Elec Pwr Auth Prf	C	Interest	M	T	Buy	06/05/09	M		
164. Puerto Rico Elec Pwr Auth		None	M	T	Buy	09/22/09	M		
165. New York City Genl Oblig Bds H1	B	Interest			Buy	06/16/09	L		
166.					Sold	12/08/09	L	C	
167. San Joaquin Hills Calif Tsptn Corridor		None	K	T	Buy	06/16/09	L		
168.					Sold (part)	12/08/09	K	A	
169. New York City Genl Oblig Bonds 2006 Ser GAMBAC	B	Interest			Buy	06/05/09	M		
170.					Sold	12/01/09	M	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)

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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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)
171. New York NY Rfdg Ser A-1	B	Interest			Buy	06/05/09	M		
172.					Sold	12/01/09	M	A	
173. New York Gen Obg Bds Tx-Exmpt	C	Interest			Buy	06/09/09	M		
174.					Sold	09/17/09	M	C	
175. North Carolina Eastn MPA Pwr Sys	B	Interest	M	T	Buy	06/23/09	M		
176. New York State Dev Corp Income Tax Rev	C	Interest			Buy	06/05/09	M		
177.					Sold	10/01/09	M	B	
178. Houston Tex Wtr & Swr Sys Rev		None			Buy	06/05/09	L		
179.					Sold	09/17/09	L	C	
180. CA Infrast & Econ Dv Bk Rev-Bay Area Toll Bridges	A	Interest	K	T	Buy	06/10/09	K		
181. Puerto Rico Comwlth Hwy & Transn Auth Trans Rev		None	L	T	Buy	07/23/09	L		
182. Wslchstr NY-TOB Asset Secrtztin CRP		None	M	T	Buy	07/16/09	M		
183. Metropolitan Transn Auth NY ETM Dedicated Tax	C	Interest	M	T	Buy	07/30/09	M		
184. TSASC Inc NY TOB Settlement Asset		None	L	T	Buy	10/01/09	L		
185. NYS D/A Au Revs Sndly Insd Pref-Mental Hlth Fac		None	M	T	Buy	12/01/09	M		
186. Metro Transn Au NY-Dedicated Tax FD-FSA		None	M	T	Buy	12/08/09	M		
187.					Buy (add'l)	12/08/09	L		

1. Income 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

PJ = \$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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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)
188. New York St Twy Au Second Genl Hwy & Bldg		None	L	T	Buy	12/10/09	L		
189. New York NY Ser B U/T	B	Interest	K	T	Buy	02/13/09	K		
190. Puerto Rico Pub Fin Corp-Comwlth Approp		None	K	T	Buy	10/20/09	K		
191. New York St Dorm Auth Lease Rev St Univ Dorm FACS		None	K	T	Buy	10/16/09	K		
192. New York State Housing Finance Agcy Tax Rev		None	K	T	Buy	10/16/09	K		
193. New York St Urban Dev Corp Rev Personal Income Tax		None	K	T	Buy	10/14/09	K		
194. New York St Dorm Auth Ct FACS Lsc Rev (NYC Issue)	A	Interest	J	T	Buy	10/20/09	J		
195. Metropolitan Transn Auth NY Rev-B-CIFG	A	Interest	K	T	Buy	10/14/09	K		
196. Metropolitan Transn Auth NY Dedicated Tax FD-A Revs FGIC		None	L	T	Buy	10/29/09	L		
197. New York General Obligation Bd Ser J		None	K	T	Buy	10/16/09	L		
198.					Sold (part)	12/08/09	K		
199. City of New York Gen Obli Rfdg Bonds Ser B		None	M	T	Buy	10/16/09	M		
200. TIAA-CREF	B	Dividend	L	T	Buy (add'l)	01/02/09	J		
201.					Buy (add'l)	02/03/09	J		
202.					Buy (add'l)	03/03/09	J		
203.					Buy (add'l)	04/02/09	J		
204.					Buy (add'l)	05/04/09	J		

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 \$5,000,000

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.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-I)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-I)	Identity of buyer/seller (if private transaction)
205.					Buy (add'l)	05/29/09	J		
206.					Buy (add'l)	07/01/09	J		
207. - T-C Infl Lnkd Bond-Rtmt					Buy	07/20/09	K		
208. - CREF Money Market					Sold	07/20/09	K		
209. - T-C Lifecycle 2020-Rtmt					Buy (add'l)	01/02/09	J		
210.					Buy (add'l)	02/03/09	J		
211.					Buy (add'l)	03/03/09	J		
212.					Buy (add'l)	04/02/09	J		
213.					Sold (part)	04/06/09	K		
214.					Buy (add'l)	05/04/09	J		
215.					Buy (add'l)	05/29/09	J		
216.					Buy (add'l)	07/01/09	J		
217. - T-C Lifecycle Rtmt Inc-Rtmt					Buy	04/06/09	K		
218. Property, Indian River County, FL (X)		None	L	W					

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	

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Berman, Richard M.

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

Part VII. Dodge & Cox Int'l Stock Fund, which was sold in 2008, was inadvertently included on the 2008 report (line 60). We have been unable to locate the value and gain/loss information. The value in 2007 was L.

Part VII. Oppenheimer Main Street Small Cap Fund was listed twice on the 2008 report (lines 69 and 70) and the second entry appears to be a duplicate included in error.

Part VII. Forest City Ent. (A) was listed on the 2008 report (line 82) as being Sold, rather than Sold (partial). The value code for 2008 was correctly listed as J.

Part VII. TIAA-CREF was inadvertently omitted from the 2008 report. The value code for 2008 was K. TIAA-CREF's constituent funds CREF Money Market and T-C Lifecycle 2020-Rtmt also were inadvertently omitted from the 2008 report. The value code for 2008 was K for both CREF Money Market and T-C Lifecycle 2020-Rtmt.

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Name of Person Reporting

Berman, Richard M.

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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 _____

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