

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2007**

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 4/24/2008
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 01/01/2007 to 12/31/2007
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2007	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.				
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. 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	A	Dividend	M	T					
6. Vanguard Total Int'l Index		None	L	T					
7. Vanguard Total Stock Index		None	L	T					
8. U.S. Treasury Bill	A	Interest	N	T	Buy	10/12	N		
9. U.S Treasury Bill					Partial Sale	12/3	K	A	
10. U.S. Treasury Bill					Partial Sale	12/5	K	A	
11. U.S Treasury Bill					Redeemed	12/13	M		
12. U.S. Treasury Notes	A	Interest	O	T	Buy	4/05	L		
13. Comcast Common Stock (A & K)	A	Dividend	M	T	Partial Sale	1/25	K	B	
14. Comcast Common Stock (A & K)					Partial Sale	7/31	K	B	
15. Comcast Common Stock (A & K)					Partial Sale	10/30	M	B	
16. Comcast Common Stock (A & K)					Sale	11/2	J	A	
17. GE Common Stock	A	Dividend	K	T	Buy	2/27	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	● = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Liberty Media Global (A & C)		None	L	T	Partial Sale	7/31	J	B	
19. Liberty Media Global (A & C)					Partial Sale	11/02	K	C	
20. Microsoft Common Stock	A	Dividend	J	T	Partial Sale	3/02	J	A	
21. Plum Creek Timber Co.		None	J	T	Buy	3/5	J		
22. Ebay Inc. Common Stock		None	K	T	Sale	1/25	J	B	
23. Exxon Mobil	A	Dividend	K	T					
24. John Nuveen Common Stock Fund (Class A)	C	Dividend	M	T	Sale	11/5	L	F	
25. Scarsdale, NY Sch. Dist.	A	Interest	K	T					
26. NYS Env. Facs. Corp. Clean Water	B	Interest	K	T	Buy	11/08	K		
27. Rye City, NY Pub Impt	B	Interest	L	T					
28. NYS Mort Agency	C	Interest	M	T					
29. NYS Power Authority	B	Interest	K	T					
30. NYS Dornn Authority	B	Interest	K	T	Buy	11/13	K		
31. NYS Dorm Authority Mental Heath	A	Interest	K	T	Buy	11/6	K		
32. NYS Dorm Authority Columbia	B	Interest	L	T	Buy	3/5	L		
33. Metro Trans Authority	B	Interest	K	T	Buy	12/12	K		
34. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev	D	Interest	M	T					

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35. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev	B	Interest	L	T					
36. Schwab Value Advantage Fund	B	Dividend	O	T					
37. Icon Energy Fund	B	Dividend	K	T					
38. Icon Healthcare Fund	B	Dividend	K	T					
39. American Fund New Perspective Class F	B	Dividend	K	T					
40. Oakmark Global Fund	A	Dividend	J	T					
41. TCW Galileo Value Oppty	B	Dividend	K	T					
42. TCW Galileo Value Oppty	B	Dividend	K	T					
43. Caterpillar	A	Dividend	K	T	Partial Sale	3/02	K	B	
44. Fed Ex Corporation	A	Dividend	L	T	Partial Sale	3/02	K	B	
45. Google Inc. Class A		None	L	T	Buy	2/02	K		
46. Google Inc. Class A					Buy	2/07	K		
47. Google Inc. Class A					Buy	2/12	K		
48. Google Inc. Class A					Partial Sale	6/29	K	C	
49. Google Inc. Class A					Buy	10/09	K		
50. Google Inc. Class A					Partial Sale	11/02	K	B	
51. Google Inc. Class A					Buy	11/09	J		

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52. Google Inc. Class A					Partial Sale	11/14	J	B	
53. Google Inc. Class A					Buy	11/20	J		
54. Google Inc. Class A					Buy	11/21	J		
55. Berkshire Hathaway B		None	K	T	Buy	11/08	K		
56. Goldman Sachs		None	K	T	Buy	10/9	K		
57. Goldman Sachs					Partial Sale	11/14	K		
58. Goldman Sachs					Buy	11/20	K		
59. Goldman Sachs					Buy	12/06	K		
60. Franklin Income Fund	B	Dividend	L	T	Buy	1/18	L		
61. Lockheed Martin	A	Dividend	L	T	Sale	3/02	K	B	
62. Proctor & Gamble, Co.	A	Dividend	J	T					
63. Amer. Funds Fundamental (F)	A	Dividend	K	T					
64. Dodge & Cox Int'l Stock Fund	A	Dividend	L	T					
65. American Growth Fund	A	Dividend	L	T					
66. Johnson & Johnson	A	Dividend	K	T					
67. Johnson & Johnson					Partial Sale	3/02	J	B	
68. Johnson & Johnson					Buy	3/16	J		

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69. Johnson & Johnson					Buy	4/17	J		
70. Lockheed Martin	A	Dividend	K	T					
71. Publicis N.A.	A	Dividend	L	T	Partial Sale	3/01	M	G	
72. Sunrise Senior Living	A	Dividend	K	T	Partial Sale	3/02	K	B	
73. Amer Funds New Economy	A	Dividend	K	T					
74. Amer Funds New Economy	A	Dividend	K	T					
75. Dodge & Cox Stock Fund	A	Dividend	K	T					
76. Publicis Group ORAs		None	N	T					
77. Publicis Group Warrants		None	M	T	Partial Sale	6/26	M	G	
78. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	J	T					
79. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	J	T					
80. Firsthand Technology Value Fund		None	J	T					
81. Waste Management Inc.	A	Dividend	J	T					
82. Waste Management Inc.					Buy	2/8	J		
83. Waste Management Inc.					Buy	3/16	J		
84. Waste Management Inc.						4/3	J		
85. Waste Management Inc.					Partial Sale	12/24	J	A	

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86. United Technologies	A	Dividend	J	T	Buy	2/27	J		
87. Wal-Mart Stores Inc.	A	Dividend	J	T	Buy	1/10	J		
88. Walgreen Co		None	J	T	Buy	5/24	K		
89. Walgreen Co					Buy	11/06	J		
90. Walgreen Co					Sale	12/24	K		
91. Raytheon	A	Dividend	J	T	Buy	2/27	J		
92. Pepsico	A	Dividend	J	T					
93. Spectra Energy	A	Dividend	J	T	Buy	2/14	J		
94. PPG Industries	A	Dividend	J	T	Buy	12/24	J		
95. Kimberly Clark	A	Dividend	J	T	Buy	3/29	J		
96. Forest City Ent. (A)	A	Dividend	J	T	Buy	12/24	J		
97. Duke Energy	A	Dividend	J	T	Buy	2/27	J		
98. EMC Corp. - Mass		None	J	T	Buy	2/28	J		
99. Encana	A	Dividend	J	T	Buy	2/27	J		
100. E.I. Dupont	A	Dividend	J	T					
101. Cisco		None	J	T	Buy	2/14	J		
102. BP	A	Dividend	J	T					

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103. American Express	A	Dividend	K	T	Buy	2/14	K		
104. Liberty Media Capital (A & B)		None	L	T					
105. Rogers Communications	A	Dividend	K	T	Partial Sale	1/25	K	B	
106. Rogers Communications					Partial Sale	7/31	K	D	
107. NYS Twy Auth. (Highway & Bridge)	A	Interest	L	T					
108. NYS Twy Auth. Personal Inc Tax	A	Interest	L	T	Buy	11/15	L		
109. MTA (NY) Muni Bond	B	Interest	M	T					
110. NYS Dorm Auth. (Revs)	A	Interest	K	T					
111. Triborough B & T Auth.	B	Interest	L	T	Buy	11/6	L		
112. American Funds Capital Income Builder	A	Dividend	J	T					
113. American Funds Washington Mutual Investments	A	Dividend	K	T					
114. Merrill Lynch MM Fund	B	Int./Div.	M	T					
115. Spartan 500 Index Fid Adv	B	Int./Div.	M	T	Buy	3/22	M		
116. Webster Bank 8-mo CD	A	Interest	L	T	Buy	7/18	L		
117. Alcoa		None			Buy	3/07	J		
118. Alcoa					Buy	4/17	J		
119. Alcoa					Sold	4/12	J	B	

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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)
120. Fundamental Investors Fund	A	Dividend			Buy	5/21	J		
121. IBM	A	Dividend	J	T	Buy	3/06	J		
122. IBM					Buy	4/3	J		
123. Western Asset MM Fund	A	Interest	J	T	Buy	11/02			
124. New Perspective Fund	A	Dividend	J	T	Buy	11/03			
125. Nisource Inc.	A	Dividend	J	T	Buy	2/27	J		
126. TCW Value Opportunities Fund	A	Dividend	J	T	Buy	10/9			
127. UPS Class B	A	Dividend	J	T	Buy	2/27	J		
128. Wells Fargo	A	Dividend	J	T	Buy	2/27	J		
129. Wells Fargo					Sold	10/16	J		
130. Schlumberger Ltd		None	J	T	Buy	3/5	J		
131. Yahoo Inc.		None			Buy	2/27			
132. Yahoo Inc.					Sold	11/06	J		
133. Gannett Co.		None			Buy	3/13	J		
134. Gannett Co.					Sold	11/06	J		
135. CSX Corp					Buy	4/12	J		
136. CSX Corp					Sold	11/02	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M

Date of Report

4/24/2008

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

On my 2006 disclosure report, it appears that items 12, 29, and 31 were inadvertently included having been redeemed in prior years.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M

Date of Report

4/24/2008

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

A large black rectangular redaction box covering the signature area.

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