

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) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 06/23/2008
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 United States Courthouse 500 Pearl 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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. President (until June 2007 and ex officer director thereafter)	St. John's School of Law, Alumni Association (uncompensated)
2. Trustee (ex officio as former president)	Federal Bar Council (uncompensated)
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. 10/27/03	Cahill Gordon & Reindel LLP agreement in connection with withdrawal from firm. (Copy of agreement filed with 2006 FDR and those of prior years.)
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. 2007	Cahill Gordon & Reindel LLP (fees received in 2007 for fiscal 2006 attributable to services prior to 10/31/03 withdrawal; reported on 2006 FDR)	\$ 16,707
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	Teachers Insur and Annuity Assoc (payments to surviving beneficiary under Retirement Plan)
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.	New York State Bar Association, Commercial & Federal Litigation Section	May 4-6, 2007	Lenox, Mass.	Attendee at seminars	Lodging and meals
2.	Federal Bar Council	October 12-14, 2007	Lenox, Mass.	Moderator of panel	Lodging and meals
3.	NY Council of Defense Lawyers	October 26-27, 2007	Rye Brook, N.Y.	Attendee at seminars	Lodging and meals
4.					

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

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. Brk Act #1 Fidelity Worldwide [FWWFX]	D	Dividend	M	T	buy	10/1	J		
2. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	E	Dividend	N	T					
3. Brk Act #1 Fidelity Cash Reserves [FDRXX]	F	Dividend	P1	T	pt. redempt	3/12	K		
4. same as above					pt. redempt	4/17	K		
5. same as above					pt. redempt	4/24	K		
6. same as above					pt. redempt	10/1	K		
7. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	D	Dividend	N	T					
8. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	D	Dividend	N	T					
9. Brk Act #1 Fidelity Balanced [FBALX]	E	Dividend	N	T	buy	3/12	K		
10. same as above					buy	4/17	K		
11. Fidelity Export & Multinat'l [FEXPX]	A	Dividend	M	T	buy	4/24	K		
12. same as above					buy	10/1	J		
13. Brk Act #2 SB Muni Mny Mkt Port CL A	B	Dividend	K	T					
14. Brk Act #2 First Eagle Overseas Fund Class A (Pt VIII)	B	Dividend			sell	12/18	K	C	
15. Brk Act #2 LM [SB] Appreciation Fd CL A	C	Dividend			sell	12/13	N	E	
16. Brk Act #2 LM [SB] Large Cap Grwth FD CL A		None	M	T					
17. Brk Act #2 CBF		None			sell	3/23	K	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 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. Brk Act #2 SCD	D	Dividend	M	T					
19. Brk Act #2 NYS Trwy Auth Gen Rev Ser B 4.9/07	B	Interest			redemption	1/1	K	A	
20. Brk Act #2 Triborough B & TAuth NY GEN PURP SER A 5/07	B	Interest			redemption	1/1	K	A	
21. Brk Act #2 NYS Dorm Au REVS City U 4.625/07	B	Interest			redemption	7/1	K	A	
22. Brk Act #2 NYS Dorm Au Revs Rockefeller U 4.3/07	B	Interest			redemption	7/1	K	A	
23. Brk Act #2 NYS Dorm Au REVS M Filmore Hosp 5.125/08	C	Interest	L	T					
24. Brk Act #2 NYS Dorm Au Jewish Med Ctr 4.5/07	A	Interest			redemption	7/1	K	A	
25. Brk Act #2 NYC Gen Oblig Ser H 4.5/08	B	Interest	L	T					
26. Brk Act #2 NY NY SER M AMBAC 5/08 (07)	B	Interest			redemption	6/1	K	A	
27. Brk Act #2 NYS DORM AU REVS 5/08	C	Interest	M	T					
28. Brk Act #2 Nassau Co Ser Z 5/08	B	Interest	K	T					
29. Brk Act #2 Nassau Cty COMB SWR DISTR SER Y 5/08	B	Interest			redemption	9/4	K	A	
30. Brk Act #2 NYC TFA Tax 4.25/08	B	Interest	L	T					
31. Brk Act #2 NYST AU LOC HGHWY&BRIDGE 5/09	C	Interest	M	T					
32. Brk Act #2 NYS Dorm Au Revs New Island Hosp 5.2/09	D	Interest	M	T					
33. Brk Act #2 NY NY SER J 4.625/10	B	Interest	K	T					
34. Brk Act #2 NYC Gen Oblig SER K 5/10	B	Interest	K	T					

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35. Brk Act #2 NYS TWY AUTH 5.25/10 (/08)	B	Interest	K	T					
36. Brk Act #2 NY NY RFDG Ser J 5/10[08]	A	Interest	J	T					
37. Brk Act#2 NYC G/O Ser G 3.125/10 [4/10]	C	Interest	L	T					
38. Brk Act #2 Nassau Co Ser C 5.25/10	C	Interest	L	T					
39. Brk Act #2 NYS Dorm AU Staten Isl U Hosp 4.9/10	B	Interest	L	T					
40. Brk Act #2 NYC G/O SER C 4.375/11	C	Interest	M	T					
41. Brk Act #2 NYC G/O SER D 5.4/11 (/07)	D	Interest			redemption	10/1	K	A	
42. Brk Act #2 NYS ENV FACS 5/11	A	Interest	K	T					
43. Brk Act #2 NYNY Ser F 5.125/11	B	Interest	K	T					
44. Brk Act #2 NYC Transitional Auth 4.6/11	B	Interest	K	T					
45. Brk Act#2 LIPA 5.125/11[08]	C	Interest							
46. Brk Act # 2 Eire Cnty NY Pub Impt Ser A 5/11	B	Interest	K		redemption	8/15	J	A	
47. Brk Act #2 NY NY Ser J 4/12	C	Interest	M	T					
48. Brk Act #2 NYS Dorm Auth City Univ 5.75/12 (/09)	C	Interest	L	T					
49. Brk Act #2 NYC RFDG Ser F 5.25/12	A	Interest	J	T					
50. Brk Act #2 Nassau Co Gen Imo Ser V 5.25/13 (5.25/07)	A	Interest			redemption	3/1	M	A	
51. Brk Act #2 NYC G/O Ser H 5.25/13 (/09)	A	Interest	K	T					

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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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52. Brk Act #2 NY NY Ser J FGIC-TCRS 5.35/12	B	Interest	K	T					
53. Brk Act #2 NYS Dorm Auth Upstate Comm Coll Rev B 5/13 [10]	B	Interest	L	T					
54. Brk Act #2 NY NY RFDG Ser B-FGIC TCRS 5.75/13	C	Interest	L	T					
55. Brk Act #2 Medina NY Cent Sc Dist 4.75/13	B	Interest	K	T					
56. Brk Act #2 LIPA 5/13 [08]	C	Interest	M	T					
57. Brk Act #2 NYS Dorm AU RFDG SECD HOSP NYDTWN 5.2/014	C	Interest	L	T					
58. Brk Act #2 NYS Dorm Auth Revs Ithaca Coll 5/13	B	Interest	K	T					
59. Brk Act #2 MTA NY 4.75/13	A	Interest	K	T					
60. Brk Act #2 NYS Dorm AU Revs Third Gen Res 5.25/13	C	Interest	L	T					
61. Brk Act #2 NYS Dorm AU Revs Lutherern Med 5/13	C	Interest	L	T					
62. Brk Act #2 NYC GO Ser J 4/13	C	Interest	M	T					
63. Brk Act #2 Buffalo NY Ser B 5.375/13 [12]	B	Interest	K	T					
64. Brk Act #2 Nassau Cty IFA Ser A 5/13	B	Interest	K	T					
65. Brk Act #2 NYC GO Ser A 4/13	A	Interest	M	T	buy	7/26	L		
66. Brk Act #2 Camden NY Cent Sch DIST SER A 4.5/14	B	Interest	L	T					
67. Brk Act #2NYC MUN WTR FIN 00/14	A	Interest	K	T					
68. Brk Act #2 NYS DORM AU Iona Coll 4.3/14	B	Interest	L	T					

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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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69. Brk Act #2 Nassau Cty NY GENIMPT SER X 5.1/14 (/07)	D	Interest			redemption	11/1	M	A	
70. Brk Act #2 LI Pwr Au [LIPA] 5/14[08]	B	Interest	K	T					
71. Brk Act #2 NYC Ser J 5.25/14 (/09)	B	Interest	K	T					
72. Brk Act #2 Sharon Springs MunWtr 4.8/14	B	Interest	K	T					
73. Brk Act #2 NYS Dorm Au Colgate 4.625/14	B	Interest	K	T					
74. Brk Act #2 NYC Ser A G/O 4.3/14	C	Interest	L	T					
75. Brk Act #2 LI Pwr Au [LIPA] 5/14	B	Interest	L	T					
76. Brk Act #2 Bethlehem NY Cent Sch Dt 5.125/14[07]	B	Interest	K	T					
77. Brk Act #2 NYS Dorm Au Lease Rev Mun Hlth 5.5/14	B	Interest	K	T					
78. Brk Act #2 Buffalo NY Gen ImpSer A 4.7/14 [11]	C	Interest	M	T					
79. Brk Act #2 NYC GO Ser I 4.5/14[13]	A	Interest	K	T					
80. Brk Act #2 West Seneca Cent Sch 4.125/14	C	Interest	M	T					
81. Brk Act #2 NYC GO Ser G 4/14	C	Interest	M	T					
82. Brk Act #2 Buffalo NY SER C Parking 4.7/15[12]	C	Interest	L	T					
83. Brk Act #2 LI NY Pwr Au Elec SYS [LIPA] 5/15[08]	C	Interest	M	T					
84. Brk Act #2 No Babylon Sch Dt 5.25/15	B	Interest	K	T					
85. Brk Act #2 NYSTWY AU 5/15 (/09)	D	Interest	M	T					

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86. Brk Act #2 NY,NY Ser I 5.25/15 (/09)	C	Interest	L	T					
87. Brk Act #2 NYC REF Ser B G/O 5.75/15	C	Interest	L	T					
88. Brk Act #2 NY,NY RFDG Ser G 5/15	B	Interest	K	T					
89. Brk Act #2 LI Pwr Au[LIPA] 4/15	B	Interest	K	T					
90. Brk Act #2 Carle Place 5.4/15	B	Interest	K	T					
91. Brk Act #2 NYNY Ser A 5.25/15	B	Interest	K	T					
92. Brk Act #2 MTA 5.25/15	C	Interest	L	T					
93. Brk Act#2 NYC Trans Fin 4/15	C	Interest	M	T					
94. Brk Act #2 NYS Dorm Pres 4.2/15[14]	A	Interest	L	T	buy	8/23	M		
95. Brk Act #2 NYC Ser C 5.25/15[14](Part VIII)	B	Interest	K	T					
96. Brk Act #2 NYC Health & Hosp 4.55/16	C	Interest	M	T					
97. Brk Act #2 Nassau Co GenImpt Ser Y 5/16	B	Interest	K	T					
98. Brk Act # 2 NYC G/O Ser H 5.25/16	C	Interest	L	T					
99. Brk Act #2 NYS Dorm Au St Johns U 5/16	B	Interest	K	T					
100. Brk Act #2 NY, NY Trans Fin Au 4.75/16	B	Interest	K	T					
101. Brk Act #2 LIPA 5.125/16	C	Interest	L	T					
102. Brk Act #2 NY NY Ser J 5.25/16	D	Interest	M						

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☐ 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)

103. Brk Act #2 NYS Dorm Au RVS City U 5/16	B	Interest	L	T					
104. Brk act #2 NYS Env Fac Corp St Clean Wtr 5/17	B	Interest	L	T					
105. Brk Act #2 NY NY RFDG Ser J 5/17	A	Interest	K	T					
106. Brk Act #2 NYC Ser G G/O 5/17	C	Interest	M	T					
107. Brk Act #2 NYC GO Ser O 5/17[15]	B	Interest	M	T	buy	8/14	M		
108. Brk Act #2 NYS Dorm AU City U 5/18 (08)	B	Interest	K	T					
109. Brk Act #2 NYC SER B Gen Obl 5.375/18 [08]	C	Interest	L	T					
110. Brk Act #2 LI NYPWR AU [LIPA} 5/18	C	Interest	M	T					
111. Brk Act #2 NYS Dorm Au St Josephs H 5.25/18	A	Interest	K	T					
112. Brk Act #2 Binghamtom 4.25/18[16]	A	Interest	M	T	buy	1/31	M		
113. Brk Act #2 NYS Thru H & B 5/18[15]	B	Interest	M	T	buy	6/8	M		
114. Brk Act #2 NYC GO Ser A1 5/18[17]	A	Interest	M	T	buy	12/27	M		
115. Brk Act #2 NY NY RFDG Ser I 5/18[14](Part VIII)	C	Interest	M	T					
116. Brk Act #2 Buffalo NY Mun Wtr Fin Au 5/19	A	Interest	K	T					
117. Brk Act #2 Buffalo Ser C 5/19	C	Interest	M	T					
118. Brk Act #2 LIPA 5.3/19	C	Interest	L	T					
119. Brk Act #2 MTA Ser A5.5/19[12]	D	Interest	M	T	buy	6/14	M		

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

Castel, P .Kevin

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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. Brk Act #2 NYC TFA Ser A1 5/19[16]	A	Interest	M	T	buy	9/21	M		
121. Brk Act #2 Middletown NY 4.125/19[16](Part VIII)	C	Interest	M	T					
122. Brk Act #2 NYC GO Ser A 5/20[16]	A	Interest	M	T	buy	11/6	M		
123. Brk Act#2 LIPA Ser E 5/20 [16]	C	Interest	M	T	buy	4/11	M		
124. Brk Act #2 NYC Trans F/A Rev 5.25/21	C	Interest	L	T					
125. Brk Act #2 NYS Pers Inc Tax 5/21[16]	B	Interest	M	T	buy	3/28	M		
126. Brk Act #2 Triborough B & T AU 5/24	C	Interest	M	T					
127. Brk Act #2 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	L	T					
128. Brk Act #2 XLF	A	Interest	L	T	buy	11/13	M		
129. Brk Act #4 NYS Dorm Au City U 4.625/07	B	Interest			redemption	7/2	K	A	
130. Brk Act #4 Port Auth 119th Ser 5/07	A	Interest			redemption	2/1	K	A	
131. Brk Act #4 NYS Dorm Mtg Hosp 4.95/08	B	Interest	K	T					
132. Brk Act #4 NYNY Ser H MBIA 5/09	B	Interest	L	T					
133. Brk Act #4 NYS Thrwy 5.1/10	C	Interest	L	T					
134. Brk Act #4 NYC G/O Ser C 4.35/11	B	Interest	L	T					
135. Brk Act #4 NYC RFDG Ser H, subser H6 float/12	C	Interest	L	T					
136. Brk Act #4 MTA FRDG Ser A 4.3/13	B	Interest	L	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
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Brk Act #4 NYS Dorm Columbia U. 5.25/13	B	Interest	K	T					
138. Brk Act #4 Nassau Cty Gen Impt Ser X 5.1/14 [07]	C	Interest			redemption	11/1	L	A	
139. Brk Act #4 NYC Ref Ser B G/O 5.75/15	B	Interest	K	T					
140. Brk Act #4 NYC Health & Hosp 4.5[4.55]/16	A	Interest	K	T					
141. Brk Act #4 Hudson Falls NY Cent Sch 4.625/16	B	Interest	K	T					
142. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	L	T					
143. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
144. Brk Act #4 Port Auth 125th Ser 5/18	B	Interest	K	T					
145. Brk Act # 4 MTA 4.5/18	B	Interest	K	T					
146. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
147. Brk Act #4 Binghamton NY 4.25/18[16]	A	Interest	L	T	buy	1/31	L		
148. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	L	T	buy	7/2	L		
149. Brk Act #4 Western Asset Mkt FD (PartVIII)	A	Dividend	L	T	buy	4/3	J		
150. same as above					buy	11/2	K		
151. Brk Act #4 LM[SB] Large Cap Growth Fund CL A		None	K	T					
152. Brk Act #5 Western Asset Mkt FD (Part VIII)	B	Dividend	M	T					
153. Brk Act #5 LM[SB] Apprec Fd CL A	A	Dividend			sell	12/13	J	B	

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

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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)
154. Brk Act #5 SB Large Cap Growth Fund CL A	A	Dividend	L	T					
155. Brk Act #5 NYS Dorm AU City U 4.625/07	B	Interest			redemption	7/2	K	A	
156. Brk Act #5 Port Auth NYNJ 119th Ser 5/07	A	Interest			redemption	2/1	L	A	
157. Brk Act #5 NYS Dorm UTD Hlth Svcs 4.95/08	B	Interest	K	T					
158. Brk Act #5 NYS Twy Au Hwy & Brdg 5/08	B	Interest	K	T					
159. Brk Act #5 NY NY Ser H 5/09	B	Interest	L	T					
160. Brk Act #5 NYS Dorm Au Mntl Hlth 5.25/09	B	Interest	K	T					
161. Brk Act #5 NYS Thrw AU 5.1/10	C	Interest	L	T					
162. Brk Act #5 NYC G/O SER C 4.375/11	B	Interest	L	T					
163. Brk Act #5 NYS Dorm Au ST U EDL 5.250/11	B	Interest	K	T					
164. Brk Act #5 MTA 4.75/13	B	Interest	K	T					
165. Brk Act #5 Corning NYC Sch Dist SerB 4.25/13	B	Interest	L	T					
166. Brk Act #5 NYS Dorm Au Rev UMW 5/13	B	Interest	K	T					
167. Brk Act #5 Nassau Cnty NY Gen Impt Ser X 5.1/14[07/08]	C	Interest			redemption	11/1	L	A	
168. Brk Act #5 NYS Env Clean & Drink WTR 5.050/14	B	Interest	K	T					
169. Brk Act #5 New York NY RFDG Ser H 5/16	B	Interest	L	T					
170. Brk Act #5 NYC Ref B G/O 5.75/15	B	Interest	K	T					

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 = \$250,000.01 - \$500,000.00	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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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. Brk Act #5 NY, NYSer H 5/15	A	Interest	K	T					
172. Brk Act #5 MTA 5.25/15	C	Interest	L	T					
173. Brk Act #5 NYC Health&Hosp 4.55/16	A	Interest	K	T					
174. Brk Act #5 Hudson Falls NY Cent 4.65/16	B	Interest	K	T					
175. Brk Act #5 NYC G/O Ser B 5.25/18	C	Interest	L	T					
176. Brk Act #5 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
177. Brk Act #5 Binghamton NY 4.25/18[16]	A	Interest	L	T	buy	1/31	L		
178. Brk Act #5 NYS Twy Rev A 5/20[15]	B	Interest	L	T	buy	7/2	L		
179. Brk Act #6 SB Money Funds Cash Port CLA	B	Dividend	L	T					
180. Brk Act #6 SB Muni NY Mkt Port CL A	A	Dividend	J	T					
181. Brk Act #6 ADP	A	Dividend	J	T					
182. Brk Act # 6 BR (Part VIII)					sell	4/9	J	A	
183. Brk Act #6 BBY	A	Dividend	K	T					
184. Brk Act #6 CSCO		None			sell	12/21	J	A	
185. Brk Act #6 CTAS	A	Dividend			sell	12/21	J	A	
186. Brk Act #6 Citigroup	A	Dividend	J	T					
187. Brk Act #6 GE	A	Dividend	J	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
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

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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)

188. Brk Act #6 HD	A	Dividend			sell	12/21	J	A	
189. Brk Act #6 IBM	A	Dividend	J	T					
190. Brk Act #6 KMB	A	Dividend	J	T					
191. Brk Act #6 KSS		None	J	T					
192. Brk Act #6 MDT	A	Dividend	K	T					
193. Brk Act #6 MRK	A	Dividend			sell	12/21	J	A	
194. Brk Act #6 MSFT	A	Dividend	J	T					
195. Brk Act #6 PFE	A	Dividend			sell	12/21	J	A	
196. Brk Act #6 PWC		None	L	T	buy	12/21	J		
197. Brk Act #6 WMT	A	Dividend	J	T					
198. Brk Act #6 WAG	A	Dividend	J	T					
199. Brk Act #6 WFC	A	Dividend	J	T					
200. Brk Act #7 Citibank NA Bank Dep Program	A	Interest	J	T					
201. Brk Act #7 Safra Nat Bank C/D	A	Interest	K	T					
202. Brk Act #7 Lehman Bros 4.150/15	B	Interest	K	T					
203. Brk Act # 7 PWC	A	Dividend	K	T					
204. Brk Act #7 RIT	A	Dividend	J	T	buy	5/9	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)	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-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)
205. Brk Act #8 Citibank Bank Dep Prog	A	Interest	J	T					
206. Brk Act #8 SB Appreciation FD CL A	A	Dividend	K	T	pt.sell	6/22	J	A	
207. same as above					buy	6/22	J		
208. same as above					pt.sell	12/13	J	B	
209. same as above					buy	12/18	J		
210. Brk Act #8 John Hancock Trift Oppty Fd Equity portfolio(BTO)	C	Dividend	K	T	buy	3/30	J		
211. same as above					buy	8/29	J		
212. same as above					buy	9/28	J		
213. same as above					buy	12/28	J		
214. Brk Act #9 SB MUNI NY MNY MKT PORT CL A	D	Interest	K	T					
215. Brk Act #9 CBF	A	Dividend			sell	3/25	K	A	
216. Brk Act #9 EEM	A	Dividend	K	T	buy	3/1	J		
217. Brk Act #9 PWC	B	Dividend	L	T	buy	3/1	K		
218. Brk Act #9 PRF	B	Dividend	L	T	buy	3/1	K		
219. same as above					buy	9/27	K		
220. Brk Act #9 PZI	A	Dividend	J	T	buy	3/1	J		
221. Brk Act #9 MFS Intl New Disc Fund C	A	Dividend	K	T	buy	3/1	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 = \$15,000 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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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)
222. same as above					sell	12/18	J	D	
223. same as above					buy	12/18	J		
224. Brk Act #9 NYC Muni Water SWR 0/14[09]	B	Interest	K	T					
225. Brk Act #9 NYS Energy R&D Rock/Orange 3.51/14	C	Interest	L	T					
226. Brk Act #9 PR Comm H & T 0/20		None	K	T	buy	10/2	K		
227. Brk Act #9 XLF	A	Interest	K	T	buy	11/14	K		
228. Brk Act #10 SB MUNI NY MNY PORT CL A	D	Dividend			sell	3/23	K	A	
229. Brk Act #10 Nuveen NY Sel Qual (NVN)	A	Interest			sell	1/23	K	A	
230. Brk Act #10 CBF		None	K	T	buy	11/16	K		
231. Brk Act #10 EEM	A	Dividend	J	T	buy	3/1	J		
232. Brk Act #10 PWC	B	Dividend	L	T	buy	3/1	K		
233. Brk Act #10 PRF	B	Dividend	L	T	buy	3/1	K		
234. same as above					buy	9/27	K		
235. Brk Act #10 PZI	A	Dividend	K	T	buy	3/1	J		
236. Brk Act #10 MFS Intl New Disc Fund C	A	Dividend	K	T	buy	3/1	J		
237. same as above					sell	12/18	J	D	
238. same as above					buy	12/18	J		

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. Brk Act #10 NYC Muni Water SWR 0/14[09]	B	Interest	K	T					
240. Brk Act #10 NYS Energy R&D Rock/Orange 3.51/14	C	Interest	L	T					
241. Brk Act #10 P R Comm H & T 0/20		None	K	T	buy	10/2	K		
242. Brk Act #11 Spartan US Eq Index		None	N	T					
243. Brk Act #11 MSIFT CP Fx Inst		None	M	T					
244. Brk Act #12 PHX Oakhurst Strat Alloc FD A	A	Dividend	J	T					
245. Brk Act #12 PHX Oakhurst Inc&Growth FD A	A	Dividend	J	T					
246. Brk Act #13 Fidelity Divers Intl [FDIVX]	D	Dividend	M	T	buy	10/2	J		
247. Brk Act #13 Fidelity Equity Inc[FEQIX]	F	Dividend	O	T					
248. Brk Act #13 Fidelity Inter Bond [FTHRXX]	E	Interest	N	T					
249. Brk Act #13 Fidelity Export & Multinat'l [FEXPX]	B	Dividend	L	T	buy	10/2	J		
250. Brk Act #13 Fidelity Disciplined Equity[FDEQX]	D	Dividend	L	T	buy	10/2	J		
251. Brk Act # 13 Fidelity Value [FDVLX]	D	Dividend	L	T	buy	10/2	J		
252. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	L	T	buy	10/2	J		
253. same as above					buy	12/14	K		
254. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	D	Interest	M	T					
255. Bank Act #14 Chase Accounts		None	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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Name of Person Reporting

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

The additional information provided in this Part VIII should be deemed to be amendments to the relevant prior year's Financial Disclosure Reports ("FDRs").

Part III: NON-INVESTMENT INCOME

PartVII: INVESTMENTS AND TRUSTS

Page 6, line 26 of FDR for 2006. Brk Act #2 LM[SB] MuniFd NY Port CL A. It was sold on 1/19/06 at value code O and a gain code of A.

Page 6, line 32 of FDR for 2006. Brk Act #2 Unbited Nuveen TE UT TR #61 MNY Isd Ser 61. It was sold on 1/19/06 at value code K and gain code A.

Page 9, line 76 of FDR for 2006. Brk Act # 2 NYS Med Care FACSFINAGYMENTHLTH F 5.375/14 It was sold on 8/15/05 at value code L and gain code A.

Page14, line 160 of FDR for 2006.Brk Act #4 SB Muni NY MNY MKT PORT CL A. It was partially sold on 1/19/06 at value code K and gain code A. It is now known as Western Assets Mkt FD which appears at page 13, line 149 of the 2007 FDR.

Page14, line 161 of FDR for 2006.Brk Act #4 SB Muni NY Port CL A. It was sold on 1/19/06 at value code K and gain code A.

Page14, line 162 of FDR for 2006.Brk Act #4 SB Intermediate Maty NY Muni FD CL A. It was sold on 1/19/06 at value code L and gain code A.

Page14, line 164 of FDR for 2006.Brk Act #5 SB Muni NY MNY MKT PORT CL A. It was partially sold on 1/19/06 at value code L and gain code A. It is now known as Western Assets Mkt FD which appears at page 13, line 152 of the 2007 FDR.

Page14, line 166 of FDR for 2006.Brk Act #4 SB Muni FD NY Port CL A. It was sold on 1/19/06 at value code L and gain code A.

Page14, line 167 of FDR for 2006.Brk Act #4 SB Intermediate Maty NY Muni FD CL A. It was sold on 1/19/06 at value code L and gain code A.

Page 10, line 95 of FDR for 2007. Brk Act #2 NYC Ser C 5.25/15[14] It was bought on 1/5/06 and had an end of reporting period value code K, and value method T.

Page 11, line 11 5of FDR for 2007. Brk Act #2 NY NY RFDG Ser I 5/18. It was bought on 10/2/06 and had an end of the reporting period value code M, and value metohd T.

Page 12, line 121 of FDR for 2007. Brk Act #2 Middletown NY 4.125/19[16]. It was bought on 09/22/06 and had an end of the reporting period value code M, and value metohd T.

Page15, line 182 of FDR for 2007. Brk Act #6 BR. BR was acquired in a spin off from ADP on 4/9/07.

Page 19, line 255 of FDR for 2007. Since the date of the nomination report, I have had had two non-interest bearing checking accounts at Chase but did not report them because of an erroneous belief that they were not "Investments and Trusts." At all times, the value at the end of the reporting period has been K.

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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