

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

July 10, 2007

Honorable Ortrie D. Smith
Chair, Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Calendar Year 2006 Filing

Dear Judge Smith,

Thank you for your letter dated June 15, 2007 regarding my 2006 annual financial disclosure report, dated May 7, 2007.

In Part VII, page 6, line 48, for "L-3 Communications Hldgs," the income amount code in column B(1) should be "A" and the income type in column B(2) should be "Dividend."

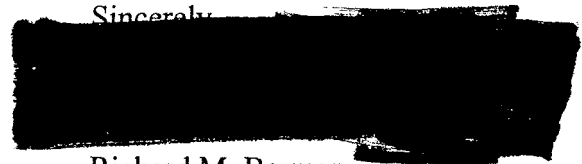
In Part VII, page 11, line 126, I listed "American Funds Capital Income Builder." This fund was purchased on September 13, 2006. The type of transaction for column D(1) is "Buy"; the date in column D(2) should be "9/13"; and the value code in column D(3) should be "J."

In Part VII, page 11, line 127, I listed "American Funds Washington Mutual Investments." This fund was purchased on August 25, 2006. The type of transaction for column D(1) is "Buy"; the date in column D(2) should be "8/25"; and the value code in column D(3) should be "K."

In Part VII, page 11, line 128, I listed "Merrill Lynch MM Fund," which was not listed on my 2005 annual report through inadvertence. This money market fund is a cash equivalent account.

Please contact me at (212) 805-6715 if you have any further questions.

Sincerely,



Richard M. Berman

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FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 05/07/2007
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 01/01/2006 to 12/31/2006
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 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 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 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.		
5.		

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. 2006	Brand Consulting Firm / Partnership Income; College Administration / Salary
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS — *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Federal Bar Council	Oct. 27-29 - 2006 Fall Bench & Bar Retreat, Lennox, Mass (Lodging)
2.	
3.	
4.	
5.	

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Greenpoint Bank	Mortgage on apartment (investment)	N
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Windsor	B	Dividend			Sale	10/4	M	E	
6. Vanguard 500 Index Trust	B	Dividend			Sale	10/4	L	B	
7. Vanguard 500 Index Trust	A	Dividend	M	T	Buy	11/27	M		
8. Vanguard Strategic Equity	B	Dividend			Sale	10/4	M	G	
9. Vanguard Total Int'l Index		None	L	T	Buy	12/26	L		
10. Vanguard Total Stock Index		None	L	T	Buy	12/26	L		
11. U.S. Treasury Notes	A	Interest	O	T	Buy	10/26	O		
12. NYC GO Municipal Bond (Water)	A	Interest	K	W					
13. Blackrock Municipal Bond Fund	B	Distribution			Sale	4/4	M		
14. Muniyield Municipal Bond Fund	B	Dividend			Sale	2/8	K	C	
15. NYC Municipal Bond (Series D)	C	Interest			Sale	10/18	L	A	
16. Comcast Common Stock (A & K)	A	Dividend	M	T	Buy	11/16	K		
17. Comcast Common Stock (A & K)	A	Dividend	M	T	Partial Sale	2/24	K		

1. Income Gain Codes:
(See Columns B1 and D4)A = \$1,000 or less
F = \$50,001 - \$100,000B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000D = \$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 - \$500,000K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,0003. Value Method Codes
(See Column C2)P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book ValueR = Cost (Real Estate Only)
V = OtherP4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

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18. Cablevision Systems Common Stock		None			Sale	9/29	K	A	
19. GE Common Stock	A	Dividend	K	T	Buy	10/24	K		
20. GE Common Stock	A	Dividend	K	T	Partial Sale	3/1	J	A	
21. Liberty Media Global (A & C)		None	K	T	Partial Sale	9/29	J	D	
22. Liberty Media Global (A & C)		None	K	T	Buy	12/21	K		
23. Liberty Media Interactive (A & B)		None			Sale	9/29	J	D	
24. Microsoft Common Stock	A	Dividend	K	T	Buy	11/13	J		
25. Ebay Inc. Common Stock		None	K	T	Partial Sale	10/3	L	E	
26. Exxon Mobil	A	Dividend	K	T	Buy	10/24	K		
27. John Nuveen Common Stock Fund (Class A)	C	Dividend	M	T	Partial Sale	10/18	L	B	
28. Scarsdale, NY Sch. Dist. Municipal Bond	A	Interest	K	W					
29. Westchester County, NY GO Municipal Bond	C	Interest	L	W					
30. Rye City, NY Pub Impt Muncpal Bond	B	Interest	L	W					
31. MAC Municipal Bond	C	Interest	K	W	Partial Sale	4/1	K	A	
32. NYS Mort Agency	C	Interest	M	W	Partial Sale	1/1	M	A	
33. NYS Power Authority	C	Interest	K	W	Partial Sale	1/1	K	A	
34. Providian Nat'l Bk - CD	B	Interest	L	T	Sale	4/20	L		

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 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev 3.9%	D	Interest	M	T					
36. NYS Env Fac Corp St Clean Wtr & Drkg Wtr Rev 3.75%	B	Interest	L	T					
37. NY GO	B	Interest			Sale	1/1	L	B	
38. Schwab MM/NY Muni Fund	D	Int./Div.			Sale	12/26	N	C	
39. Schwab Value Advantage Fund	B	Int./Div.			Sale	10/23	O	B	
40. Schwab Value Advantage Fund	B	Dividend	O	T	Buy	10/10	O		
41. Cohen & Steers Realty Fund	A	Dividend			Sale	10/24	J	B	
42. Icon Energy Fund	B	Dividend	K	T	Partial Sale	9/12	L	D	
43. Icon Healthcare Fund	B	Dividend	K	T	Partial Sale	10/4	L	C	
44. American Fund New Perspective Class F	B	Dividend	K	T	Partial Sale	10/3	K	C	
45. Oakmark Global Fund	A	Dividend	J	T	Partial sale	3/1	K	D	
46. TCW Galileo Value Oppty	B	Dividend	K	T	Buy	12/22	J		
47. TCW Galileo Value Oppty	B	Dividend	K	T	Partial Sale	10/4	K	B	
48. L-3 Communications Hldgs					Sale	8/14	K		
49. Abbott Laboratories	A	Dividend			Sale	10/3	K	C	
50. Caterpillar	A	Dividend	K	T	Partial Sale	8/11	K	C	
51. Caterpillar	A	Dividend	K	T	Buy	10/23	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 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 the spouse and dependent children. See pp. 34-60 of filing instructions.)

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52. Chevrontexaco Corp	A	Dividend			Sale	9/11	K	C	
53. Conocophillips	A	Dividend			Sale	9/6	K	C	
54. Danaher Corp.	A	Dividend			Sale	10/3	L	D	
55. Discovery Hldgs Ser B	A	Dividend			Sale	8/8	J	B	
56. Discovery Hldgs Ser A	A	Dividend			Sale	8/8	K	D	
57. Fed Ex Corporation	A	Dividend	L	T					
58. Google Inc. Class A		None			Sale	1/20	K		
59. Google Inc. Class A		None	K	T	Buy	11/30	K		
60. Lockheed Martin	A	Dividend	L	T	Buy	11/14	L		
61. Lockheed Martin	A	Dividend	K	T	Partial Sale	5/24	J		
62. Medtronic Inc.	A	Dividend			Buy	3/29	L		
63. Medtronic Inc.	A	Dividend			Sale	8/8	L		
64. Pfizer Incorporated	B	Dividend			Sale	10/3	L	D	
65. Proctor & Gamble, Co.	B	Dividend	J	T	Partial Sale	10/3	L	D	
66. Proctor & Gamble, Co.	B	Dividend	J	T	Buy	10/24	J		
67. Alpine US Real Estate Fund	A	Dividend			Sale	2/24	K		
68. Amer. Funds Fundamental (F)	B	Dividend	K	T	Partial Sale	10/3	K	D	

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 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 the spouse and dependent children. See pp. 34-60 of filing instructions.)

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

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69. Artisan Mid Cap Value Fund	A	Dividend	K	T	Partial Sale	3/29	K	A	
70. Artisan Int'l Value	A	Dividend			Buy	3/29	K		
71. Artisan Int'l Value	A	Dividend			Sale	10/4	K	C	
72. Dodge & Cox Int'l Stock Fund	A	Dividend	L	T	Partial Sale	10/31	L	E	
73. Driehaus Int'l Discovery Fund	A	Dividend			Sale	9/28	K	A	
74. American Growth Fund	A	Dividend	K	T	Buy	12/18	J		
75. 3M Company		None			Buy	3/29	K		
76. 3M Company		None			Sale	8/8	K		
77. Johnson & Johnson	A	Dividend	K	T	Buy	10/24	K		
78. Johnson & Johnson	A	Dividend	K	T	Partial Sale	5/24	J	A	
79. Lockheed Martin	A	Dividend	K	T	Partial Sale	5/24	J	B	
80. Publicis N.A.	A	Dividend	L	T	Partial Sale	4/10	M	G	
81. Sunrise Senior Living	A	Dividend	K	T	Partial Sale	2/8	J	B	
82. Sunrise Senior Living	A	Dividend	K	T	Buy	8/4	J		
83. Amer Funds New Economy	A	Dividend	K	T	Partial Sale	2/8	J	A	
84. Amer Funds New Economy	A	Dividend	K	T	Buy	8/4	J		
85. Calamos Growth Fund	A	Dividend	K	T	Sale	8/4	K	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 = \$250,000,001 - \$500,000,000	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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86. Chesapeake Core Growth Fund	A	Dividend	J	T	Sale	2/8	J	A	
87. Dodge & Cox Stock Fund	A	Dividend	K	T					
88. Wasatch Heritage Growth	A	Dividend			Sale	2/8	J	B	
89. Publicis Group ORAs		None	N	T					
90. Publicis Group Warrants		None	M	T					
91. Sony		None			Buy	2/8	L		
92. Sony		None			Sale	8/24	L		
93. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	J	T	Buy	3/29	K		
94. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	J	T	Partial Sale	8/9	K		
95. Firsthand Technology Value Fund		None	K	T	Buy	4/28	K		
96. Firsthand Technology Value Fund		None	K	T	Partial Sale	8/9	K		
97. RS Info. Fund		None			Buy	2/24	K		
98. RS Info. Fund		None			Sale	5/24	K		
99. Waste Management Inc.	A	Dividend	J	T	Buy	10/19	J		
100. United Technologies	A	Dividend	J	T	Buy	10/24	J		
101. Raytheon		None	J	T	Buy	10/24	J		
102. Pepsico		None	J	T	Buy	10/24	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
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3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

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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. PPG Industries	A	Dividend	J	T	Buy	10/24	J		
104. Kimberly Clark		None	J	T	Buy	10/24	J		
105. Forest City Ent. (A)	A	Dividend	J	T	Buy	10/24	J		
106. Duke Energy	A	Dividend	J	T	Buy	10/24	J		
107. E.I. Dupont	A	Dividend	J	T	Buy	10/24	J		
108. Cisco		None	J	T	Buy	10/24	J		
109. BP	A	Dividend	J	T	Buy	10/24	J		
110. American Express		None	J	T	Buy	10/24	J		
111. Liberty Media Capital (A & B)		None	L	T	Buy	12/18	K		
112. Rogers Communications		None	L	T	Buy	12/18	L		
113. ITT Industries		None			Buy	5/9	K		
114. ITT Industries		None			Sell	8/8	K		
115. Ingersoll Rand		None			Buy	5/9	K		
116. Ingersoll Rand		None			Sell	8/8	K		
117. Lowes Corp		None			Buy	2/8	K		
118. Lowes Corp		None			Sell	8/9	K		
119. Teva Pharmaceuticals		None			Buy	5/10	L		

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

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

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

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
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 the 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. Teva Pharmaceuticals		None			Sold	8/8	L		
121. Encana Corp.	A	Dividend			Buy	10/18	J		
122. NYS Twy Auth. Muni Bond	A	Interest	L	T	Buy	11/29	L		
123. MTA Muni Bond	A	Interest	M	T	Buy	11/29	M		
124. NYS Dorm Auth. Muni Bond		None	K	T	Buy	9/12	K		
125. Triborough B & T Auth. Muni Bond	A	Interest	N	T	Buy	12/18	N		
126. American Funds Capital Income Builder	A	Dividend	J	T					
127. American Funds Washington Mutual Investments	A	Dividend	K	T					
128. Merrill Lynch MM Fund	B	Int./Div.	M	T					
129. Turner Strategic Growth Fund		None			Buy	3/29	K		
130. Turner Strategic Growth Fund		None			Sale	6/9	K		
131. U.S. Global Resources Fund		None			Buy	2/8	K		
132. U.S. Global Resources Fund		None			Sale	9/12	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 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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Name of Person Reporting**Berman, Richard M****Date of Report**

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

Most transactions in 2006 resulted from a change in financial advisors.

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Name of Person Reporting

Berman, Richard M

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05/07/2007

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

Date

5/7/07

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