

UNITED STATES DISTRICT COURT

SOUTHERN DISTRICT OF NEW YORK

FOLEY SQUARE

NEW YORK, NEW YORK 10007

July 28, 2004

RICHARD OWEN

JUDGE

Judge Mary M. Lisi, Chair
Committee on Financial Disclosure
United States Courts
One Columbus Circle, NE
Washington, DC 20544

Re: Calendar Year 2003 Filing

Dear Judge Lisi,

I am responding to your letter of July 23, 2004 with the information that you required to amend my 2003 filing, along with three copies as requested.

- 1) In Block 3, 5/12/04 should be entered.
- 2) In Block 6, 1/1/03-12/31/03 should be entered.
- 3) In Block 7, United States Courthouse, 40 Centre Street, New York, NY 10007 should be entered.
- 4) Parts IV, V, VI, "NONE" boxes should be checked.
- 7) Part VII, page 3, lines 1-4, and 8, no income was received, and the word "NONE" should appear in Column B(2) under Type.
Part VII, page 3, line 9, the letter "A" should appear in Column B(2) and "DIV" should appear in Column B(2) under Type.
Part VII, page 4, line 2, the letter "A" should appear in Column B(2) and "DIV" should appear in Column B(2) under type.
Part VII, page 5, lines 1, 2, 4, and 7, no income was received, and the word "NONE" should appear in Column B(2) under Type.
Part VII, page 5, lines 8, 15, 16, 17, the letter "A" should appear in Column B(2) and "DIV" should appear in Column B(2) under Type.
Part VII, page 6, line 12, the letter "A" should appear in Column B(2) and "DIV" should appear in Column B(2) under Type.
Part VII, page 3, line 12, "Partial Sell" should appear in Column D(1).

Sincerely,


Richard Owen
U.S. District Judge

Enclosures

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2003

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) OWEN, Richard		2. Court or Organization U.S. District Court for the Southern District of New York		3. Date of Report 1/1/03-12/31/03	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior-Full Time U.S. District Judge		5. Report Type (check appropriate type) ___ Nomination, Date ___ ___ Initial ☒ Annual ___ Final		6. Reporting Period	
7. Chambers or Office Address		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____			

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

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

POSITION

NAME OF ORGANIZATION/ENTITY

☐	NONE (No reportable positions.)
1	Trustee Manhattan School of Music
2	President and Board Member New York Lyric Opera Co.
3	

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

DATE

PARTIES AND TERMS

☒	NONE (No reportable agreements.)
1	
2	

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

DATE

SOURCE AND TYPE

GROSS INCOME

A. Filer's Non-Investment Income

☐	NONE (No reportable non-investment income.)
1	Richard Owen Music Royalties-Amer. Society of Composers, Authors and Publishers (ASCAP) \$ 250.00
2	Wife Opera and concert singer; Faculty Member Manhattan School of Music; Assist. Professor-Barnard College-in voice \$
3	

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☐	NONE (No reportable non-investment income.)
1	
2	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

OWEN, RICHARD

Date of Report

1/1/03-12/31/03

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place "00" after each asset exempt from prior disclosure</i>	B Income during reporting period		C Fair value at end of reporting period		D Transactions during reporting period				
	(1) Income Code (A-F)	(2) Type (Div, Int, etc.) (A-F)	(3) Value Code (J-K)	(4) Value Method Code (Q-W)	(5) Date of Transaction	(6) Date Month Day	(7) Value Code (J-K)	(8) Gain Code (A-F)	(9) Type of Transaction (Buy/Sell/Transfer)
☐ NONE (No reportable income,									
1 SOUTHERN	A	DIV	J	T					
2 INTERPUBLIC	A	DIV	J	T					
3 PENNWEST PET	B	DIV	J	T					
4 BENCH GROUP INC	A	DIV	J	T					
5 UNICOM	A	DIV	J	T					
6 SBC COMMUNICATIONS	A	DIV	J	T					
7 UNITED TECHNOLOGIES	A	DIV	J	T					
8 AT&T	A	DIV			SOAD 5-19	5-19	J	A	
9 AT&T					SOAD	5-28	J	A	
10 AMERICAN ELEC POWER	B	DIV	K	T					
11 AMERITECH	A	DIV	J	T					
12 BELL SOUTH	A	DIV	J	T					
13									
14									
15									
16									
17									

1. Income/Gain Codes: A-\$1,000 or less (See Col. B, D, E)	B-\$1,001-\$2,500 G-\$2,501-\$5,000	D-\$5,001-\$15,000	E-\$15,001-\$50,000
2. Value Codes: F-\$15,000 or less (See Col. C, D, E)	G-\$15,001-\$50,000	H-\$50,001-\$100,000	I-\$100,001-\$250,000
3. Value Method Codes: Q-Appraisal (See Col. C, D, E)	R-Cost (real estate only) V-Other	S-Adjusted W-Estimated	T-Cash/Market

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

OWEN R KHARD

Date of Report

1/1/03-12/31/03

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Asset (including trust assets) <i>Place (X) after each asset exempt from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type Code2 Div, Inc, or Int	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type Code4 Buy, Sell, Merger, Redemption	(2) Date Month-Day	(3) Value Code2 (J-P)	(4) Amt. Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 GLOBAL CROSSING LTD			A	T					
2 AGERE SYSTEMS CL A			A	T					
3 AGERE SYSTEMS CL B			A	T					
4 AMERICAN GREETINGS CL A			J	T					
5 HJ HEINZ	A	DIV	J	T	BUY	5-1	J		
6 HOME DEPOT	A	DIV	J	T					
7 INTEL CORP	A	DIV	J	T					
8 LUCENT TECH			J	T					
9 KIMBERLY CLARK			J	T	BUY	1-22	J		
10 MOTOROLA	A	DIV	J	T					
11 NORTHROP GRUMMAN	A	DIV	J	T					
12 PROCTOR GAMBLE	A	DIV	J	T	SELL	5-1	J	A	
13 SMUCKER JM	A	DIV	J	T					
14 TEMPLETON DRAGON FUND	A	DIV	J	T					
15 NUVEEN NY DIV ADV MGMT	A	DIV	J	T					
16 BANK AMERICA 615-04	C	INT	K	T					
17 CITICORP 51-05	C	INT	K	T					

1. Income/Gain Codes: A=\$1,000 or less (Sec Col. B1, D4) B=\$1,001-\$2,500 C=\$2,501-\$5,000 D=\$5,001-\$15,000 E=\$15,001-\$50,000 F=\$50,001-\$100,000 G=\$100,001-\$1,000,000 H=\$1,000,001-\$5,000,000 I=\$5,000,001-\$10,000,000 J=\$10,000,001-\$25,000,000 K=\$25,000,001-\$50,000,000 L=\$50,000,001-\$100,000,000 M=\$100,000,001-\$250,000,000 N=\$250,000,001-\$500,000,000 O=\$500,000,001-\$1,000,000,000 P=\$1,000,001-\$5,000,000 Q=\$5,000,001-\$25,000,000 R=\$25,000,001-\$50,000,000 S=\$50,000,001-\$100,000,000 T=\$100,000,001-\$250,000,000 U=\$250,000,001-\$500,000,000 V=\$500,000,001-\$1,000,000,000 W=\$1,000,001-\$5,000,000 X=\$5,000,001-\$10,000,000 Y=\$10,000,001-\$25,000,000 Z=\$25,000,001-\$50,000,000	2. Value Codes: (Sec Col. C1, D3) A=\$15,000 or less B=\$15,001-\$50,000 C=\$50,001-\$100,000 D=\$100,001-\$250,000 E=\$250,001-\$500,000 F=\$500,001-\$1,000,000 G=\$1,000,001-\$2,500,000 H=\$2,500,001-\$5,000,000 I=\$5,000,001-\$10,000,000 J=\$10,000,001-\$25,000,000 K=\$25,000,001-\$50,000,000 L=\$50,000,001-\$100,000,000 M=\$100,000,001-\$250,000,000 N=\$250,000,001-\$500,000,000 O=\$500,000,001-\$1,000,000,000 P=\$1,000,001-\$5,000,000 Q=\$5,000,001-\$10,000,000 R=\$10,000,001-\$25,000,000 S=\$25,000,001-\$50,000,000 T=\$50,000,001-\$100,000,000 U=\$100,000,001-\$250,000,000 V=\$250,000,001-\$500,000,000 W=\$500,000,001-\$1,000,000,000 X=\$1,000,001-\$5,000,000 Y=\$5,000,001-\$10,000,000 Z=\$10,000,001-\$25,000,000	3. Value Method Codes: (Sec Col. C2) Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market U=Book value V=Other W=Estimated
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

OWEN RICHARD

Date of Report

1/1/03-12/31/03

VII. Page 1 INVESTMENTS and TRUSTS — income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Asset (including trust assets) <i>Place "00" after each asset except from prior disclosure</i>	B Income during reporting period		C Fair value at end of reporting period		D Transactions during reporting period				
	(1) Asset Code (A-E)	(2) Type (div, rent or mt)	(1) Value Code (1-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., dividend, interest, redemption)	If not exempt from disclosure			
						(2) Date Month Day	(3) Value Code (1-P)	(4) Gain Code (A-F)	(5) Identity of buyer/seller (if private transactions)
☐ NONE (No reportable income.)									
1 JPMORGAN CHASE 1-15-06	C	INT	K	T					
2 CATS PRW -SER M 5-15-04			K	T					
3 FED HM LN BK CUS 10-8-08	A	INT	J	T					
4 FED HM LN BK CUS 11-8-09	B	INT	K	T					
5 NY ST THRUWAY AUTH 4-1-10	A	INT	K	T					
6 NY C MUN WTR FW 6-15-12	B	INT	K	T					
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									

1. Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$5,000,001-\$5,000,000	D=\$5,001-\$15,000 I=\$15,001-\$50,000	E=\$15,001-\$50,000 J=\$50,001-\$100,000
2. Value Codes: U=\$15,000 or less (See Col. C1, D3)	V=\$15,001-\$50,000 W=\$50,001-\$1,000,000	X=\$1,000,001-\$5,000,000 Y=\$5,000,001-\$25,000,000	Z=\$25,000,001-\$50,000,000 AA=\$50,000,001-\$100,000,000	AB=\$100,000,001-\$250,000,000 AC=\$250,000,001-\$500,000,000
3. Value Method Codes: Q=Appraisal (See Col. C2)	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

OWEN, RICHARD <LYNN OWEN>

Date of Report

1/1/03-12/31/03

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place "D" after each asset exempt from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exemption disclosure			
	Amt. Code (A-H)	Type (e.g., div., rent or int.)	Value Code (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date Month/Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 AGERE SYSTEMS CL A			J	T					
2 AGERE SYSTEMS CL B			J	T					
3 AMERICAN EXPRESS	A	DIV	J	T					
4 AMERICAN GREETINGS CL A			J	T					
5 HOME DEPOT	A	DIV	J	T					
6 INTEL	A	DIV	J	T					
7 LUCENT TECH			J	T					
8 MOTOROLA			J	T					
9 PROCTOR & GAMBLE	A	DIV	K	T					
10 SMUCKER JIM CO	A	DIV	J	T					
11 TEMPLETON DRAGON FD	A	DIV	J	T					
12 NUVEEN NY DIV ADV MUNI FD	A	DIV	J	T					
13 UTS EMPIRE ST MUNI TAX EXEMPT TR GDSER 107	A	INT	K	T	RET OF PRW	6-2	J	A	
14 CIT GROUP 11-30-07	A	INT	J	T	BUY	3-5	J		
15 CATS SER M 11-15-03					RED	11-15	J	A	
16 UTS EMPIRE ST MUNI TAX EXEMPT TR GDSER 107					RET OF PRW	12-1	J	A	
17 SPIRS TWTS US TREAS 8-15-08			J	T					

1. Income/Gain Code: A=\$1,000 or less (See Col. B1, D4) F=\$50,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$1,000,001-\$5,000,000	D=\$5,001-\$15,000 I2=More than \$5,000,000	E=\$15,001-\$50,000
2. Value Code: J=\$15,000 or less (See Col. C1, D3) N=\$250,001-\$500,000 P=\$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	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
3. Value Method Code: Q=Appraisal (See Col. C2) G=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

OWEN, AICHARD (LYNN OWEN)

Date of Report

1/1/03-12/31/03

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions *(Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)*

[illegible]

1. Income/Gross Codes: (See Col. B1, D4)	A=\$1,000 or less F=\$50,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$170,000	C=\$2,501-\$5,000 H=\$170,001-\$5,000,000	D=\$5,001-\$15,000 I=\$5,000,001-\$5,000,000	E=\$15,001-\$50,000 J=\$5,000,001-\$50,000,000
2. Value Codes: (See Col. C1, D3)	J=\$15,000 or less K=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	L=\$15,001-\$50,000 O=\$500,001-\$1,000,000	M=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000 P4=\$5,000,001-\$50,000,000	N=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
3. Value Method Codes: (See Col. C2)	G=Appraisal D=Book value	R=Cost (real estate only) W=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

OWEN, Richard

Date of Report

1/1/03-12/31/03

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

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app., § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

Date

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