

*** AMENDED ***
**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) Scheindlin, Shira A	2. Court or Organization S.D.N.Y.	3. Date of Report 09/02/2008
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	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address USDC-SDNY 500 Pearl Street New York, N.Y. 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. Director	Justice Resource Center
2. Director	Good Shepherd Services
3. Director	Sedona Conference
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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Date of Report

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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. 2-12/07	Brooklyn Law School Teaching	\$ 8,750
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. 1-12/07	State University of New York
2. 1-12/07	IRA #2 withdrawal
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. District Court of Arizona	2/8/07 - 2/11/07	Tucson, Arizona	Speaker	Travel, Food, Lodging
2. ALI-ABA	3/6/07-3/10/07	St. Thomas, Virgin Island	Speaker	Travel, Food, Lodging
3. American Bar Association	3/20/07-3/21/07	Charleston, South Carolin	Speaker	Travel, Food, Lodging
4. American Bar Association	3/21/07-3/22/07	Chicago, Illinois	Speaker	Travel, Food, Lodging
5. Sedona Conference	3/28/07-3/29/07	Memphis, Tennessee	Speaker	Travel, Food, Lodging
6. State Bar of Texas	4/18/07-4/19/07	Houston, Texas	Speaker	Travel, Food, Lodging

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7.	Institute of Law & Economic Policy	4/19/07-4/21/07	San Jose del Cabo, Mexico	Speaker	Travel, Food, Lodging
8.	Sedona Conference	5/9/07-5/11/07	Phoenix, Arizona	Speaker	Travel, Food, Lodging
9.	IQPC	5/18/07-5/24/07	London, England	Speaker	Travel, Food, Lodging
10.	Tulane University	6/27/07-6/29/07	Williamsburg, Virginia	Speaker	Travel, Food, Lodging
11.	Sedona Conference	8/2/07-8/3/07	Washington, DC	Board Meeting	Travel, Food, Lodging
12.	American Bar Association	9/19/07-9/20/07	Wilmington, Delaware	Speaker	Travel, Food, Lodging
13.	Federation of Defense and Corporate Counsel	9/26/07-9/27/07	Chicago, Illinois	Speaker	Travel, Food, Lodging
14.	American Law Institute	10/4/07-10/5/07	Austin, Texas	Advisors Meeting - Aggreg	Travel, Food, Lodging
15.	ALI-ABA	10/31/07-11/4/07	Washington, DC	Speaker	Travel, Food, Lodging
16.	Georgetown University Law School	11/15/07-11/16/07	Washington, DC	Speaker	Travel, Food, Lodging
17.	Practicing Law Institute	12/13/07-12/17/07	San Francisco, California	Speaker	Travel, Food, Lodging

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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 Savings Bank	Mortgage on Rental Property #1, Brooklyn, NY	L
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. Rental Prop. #1, Kings County, NY	F	Rent	P1	W					
2. Teachers Insurance Annuity Association	F	Interest	P1	T					
3. AXA Financial	A	Dividend	J	T					
4. Wachovia Bank Deposit Sweep	A	Dividend	J	T					
5. IRA #1	D	Dividend	M	T					
6. IRA Sentinel Cap Inc Markets Class B		None	K	T					
7. IRA Sentinel Cap Growth Fund Class A*		None	K	T					
8. IRA Sentinel MidCap Growth Class B		None	K	T					
9. IRA Sentinel High Yield Bond Class B		None	K	T					
10. IRA Sentinel Intl Equity Class B		None	K	T					
11. IRA Sentinel Small Company B		None	K	T					
12. IRA Sentinel Common Stock Class B		None	L	T					
13. IRA Sentinel Gov't. Securities C1 A		None	K	T					
14. Intel	A	Dividend	J	T					
15. College Retirement Equities Fund		None	P1	T					
16. Supplemental and Group Retirement Annuities	D	Interest	N	T					
17. Vanguard Int'l Mutual Fund	A	Dividend	J	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 = \$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 (R at 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	(2) Value Method Code (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)
18. Pfizer	C	Dividend	M	T					
19. IBM Common Stock	A	Dividend	J	T					
20. Brooklyn Federal S & L	A	Interest	J	T					
21. Brooklyn Federal S & L	A	Interest	J	T					
22. Chase Manhattan Bank	A	Interest	J	T					
23. Chase Manhattan Bank	A	Interest	J	T					
24. Chase Manhattan Bank	A	Interest	J	T					
Chase Manhattan Bank	B	Interest	N	T					
26. Chase Manhattan Bank	A	Interest	K	T					
Chase Manhattan Bank	A	Interest	J	T					
28. NYC Bond series H	A	Interest			redemption	8/1	J	A	
NYC Bond Series H	A	Interest			redemption	10/1	J	A	
30. NYS Local Gov't Assist. Corp. Series C	B	Interest	K	T					
31. Fidelity Advantage Small Cap.		None	K	T					
32. Fidelity Advantage Mid Cap	B	Dividend	K	T					
IRA ACCOUNT #2	D	Dividend	L	T					
NWD Var Ins Trust NVIT S&P Index Fund C14*		None	J	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	
3. Value Method Codes (See Column C2)					

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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. IRA Fidelity VIP Contrafund (formerly Fidelity Mgt & Res)		None	K	T					
36. IRA Dreyfus Growth & Income (formerly The Dreyfus Corp.)		None	J	T					
37. IRA DWS Variable Series One (formerly Scudder Kemper)		None	J	T					
38. Rochester Municipal Class A	A	Dividend			sell	12/28	M	A	
39. Brokerage Account #1									
40. Excelsior NY Tax Exempt Money Fund*	B	Int./Div.	M	T					
41. Black Rock FDS INTL BD	B	Dividend			sell	9/10	K	B	
42. Excelsior High Yield Fund	B	Interest			sell	7/25	K	B	
43. Excelsior Int Term Tax Exempt Fund	A	Int./Div.			sell	1/12	M	A	
44. Excelsior NY Inter-term tax exempt Fund	D	Int./Div.	M	T	buy	1/16	M		
45. Excelsior NY Inter-term tax exempt Fund					buy	4/10	K		
46. Excelsior NY Inter-term tax Exmpt Fund					buy	7/26	K		
47. Excelsior Large Cap Growth Fund		None	M	T					
48. Excelsior Value and Restructuring	C	Distribution	M	T					
49. Kalmar Growth Small Cap Fund	B	Distribution			sell	6/22	K	D	
50. Pimco Foreign Bond Fund Inst. Unhedged	A	Dividend	K	T	buy	9/11	K		
51. Pimco Funds Development Local Market	B	Dividend	J	T	buy	9/11	K		

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)	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 instruction.)

☐ 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)
52. Royce Opportunity Fund	B	Distribution			sell	12/17	K	A	
53. Excelsior Pacific Asia Fund	A	Distribution			sell	6/22	K	D	
54. Lazard Emerging Mkts	C	Dividend	K	T					
55. Excelsior Equity Opp. Fund (Equity Core)	A	Distribution	K	T	buy	10/31	K		
56. Excelsior Directional Hedge Fund of Funds		None	M	T					
57. Julius Baer Inv. Fund	B	Dividend	M	T	buy	6/25	K		
58. John Hancock Classic Value	A	Dividend			sell	10/30	K	B	
59. John Hancock Class Value	C	Distribution			sell	12/17	K	A	
60. Bufallo Fund Midcap Fund	A	Dividend			buy	6/22	K		
61. Bufallo Fund Midcap Fund	C	Distribution			sell	12/31	K	A	
62. Blair William Fund Int. Small Cap Growth Class1	B	Dividend	K	T	buy	6/25	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Part VII l. 4. This is just a sweep account for cash that accumulates in a brokerage account.

Part VII l. 40. This is just a sweep account for cash that accumulates in a brokerage account.

Part VII l. 7 IRA Sentinel Cap Op Class B from prior report converted to IRA Sentinel Cap Growth Fund Class A

Part VII l. 34 IRA Gartmore GVIT Equity 500 from prior report converted to NWD Var Ins Trust NVIT S&P Index fund C1 4

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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

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) Scheindlin, Shira A	2. Court or Organization S.D.N.Y.	3. Date of Report 07/02/2008
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 USDC-SDNY 500 Pearl Street New York, N.Y. 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. Director	Justice Resource Center
2. Director	Good Shepherd Services
3. Director	Sedona Conference
4.	
5.	

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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. 2-12/07	Brooklyn Law School Teaching	\$ 8,750
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. 1-12/07	State University of New York
2. 1-12/07	IRA #2 withdrawal
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.	District Court of Arizona	2/8/07 - 2/11/07	Tucson, Arizona	Speaker	Travel, Food, Lodging
2.	ALI-ABA	3/6/07-3/10/07	St. Thomas, Virgin Island	Speaker	Travel, Food, Lodging
3.	American Bar Association	3/20/07-3/21/07	Charleston, South Carolin	Speaker	Travel, Food, Lodging
4.	American Bar Association	3/21/07-3/22/07	Chicago, Illinois	Speaker	Travel, Food, Lodging
5.	Sedona Conference	3/28/07-3/29/07	Memphis, Tennessee	Speaker	Travel, Food, Lodging
6.	State Bar of Texas	4/18/07-4/19/07	Houston, Texas	Speaker	Travel, Food, Lodging

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7.	Institute of Law & Economic Policy	4/19/07-4/21/07	San Jose del Cabo, Mexico	Speaker	Travel, Food, Lodging
8.	Sedona Conference	5/9/07-5/11/07	Phoenix, Arizona	Speaker	Travel, Food, Lodging
9.	IQPC	5/18/07-5/24/07	London, England	Speaker	Travel, Food, Lodging
10.	Tulane University	6/27/07-6/29/07	Williamsburg, Virginia	Speaker	Travel, Food, Lodging
11.	Sedona Conference	8/2/07-8/3/07	Washington, DC	Board Meeting	Travel, Food, Lodging
12.	American Bar Association	9/19/07-9/20/07	Wilmington, Delaware	Speaker	Travel, Food, Lodging
13.	Federation of Defense and Corporate Counsel	9/26/07-9/27/07	Chicago, Illinois	Speaker	Travel, Food, Lodging
14.	American Law Institute	10/4/07-10/5/07	Austin, Texas	Advisors Meeting - Aggreg	Travel, Food, Lodging
15.	ALI-ABA	10/31/07-11/4/07	Washington, DC	Speaker	Travel, Food, Lodging
16.	Georgetown University Law School	11/15/07-11/16/07	Washington, DC	Speaker	Travel, Food, Lodging
17.	Practicing Law Institute	12/13/07-12/17/07	San Francisco, California	Speaker	Travel, Food, Lodging

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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 Savings Bank	Mortgage on Rental Property #1, Brooklyn, NY	L
2.		
3.		
4.		
5.		

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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)
1. Rental Prop. #1, Kings County, NY	F	Rent	P1	W					
2. Teachers Insurance Annuity Association	F	Interest	P1	T					
3. AXA Financial	A	Dividend	J	T					
4. Wachovia Bank Deposit Sweep	A	Dividend	J	T					
5. IRA #1	D	Dividend	M	T					
6. IRA Sentinel Cap Inc Markets Class B		None	K	T					
7. IRA Sentinel Cap Growth Fund Class A		None	K	T					
8. IRA Sentinel MidCap Growth Class B		None	K	T					
9. IRA Sentinel High Yield Bond Class B		None	K	T					
10. IRA Sentinel Intl Equity Class B		None	K	T					
11. IRA Sentinel Small Company B		None	K	T					
12. IRA Sentinel Common Stock Class B		None	L	T					
13. IRA Sentinel Gov't. Securities Cl A		None	K	T					
14. Intel	A	Dividend	J	T					
15. College Retirement Equities Fund		None	P1	T					
16. Supplemental and Group Retirement Annuities	D	Interest	N	T					
17. Vanguard Int'l Mutual Fund	A	Dividend	J	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 = \$250,000,001 - \$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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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)
18. Pfizer	C	Dividend	M	T					
19. IBM Common Stock	A	Dividend	J	T					
20. Brooklyn Federal S & L	A	Interest	J	T					
21. Brooklyn Federal S & L	A	Interest	J	T					
22. Chase Manhattan Bank	A	Interest	J	T					
23. Chase Manhattan Bank	A	Interest	J	T					
24. Chase Manhattan Bank	A	Interest	J	T					
25. Chase Manhattan Bank	B	Interest	N	T					
26. Chase Manhattan Bank	A	Interest	K	T					
27. Chase Manhattan Bank	A	Interest	J	T					
28. NYC Bond series H	A	Interest			redemption	8/1	J	A	
29. NYC Bond Series H	A	Interest			redemption	10/1	J	A	
30. NYS Local Gov't Assist. Corp. Series C	B	Interest	K	T					
31. Fidelity Advantage Small Cap.		None	K	T					
32. Fidelity Advantage Mid Cap	B	Dividend	K	T					
33. IRA ACCOUNT #2	D	Dividend	L	T					
34. NWD Var Ins Trust NVIT S&P Index Fund C14		None	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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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)
35. IRA Fidelity VIP Contrafund (formerly Fidelity Mgt & Res)		None	K	T					
36. IRA Dreyfus Growth & Income (formerly The Dreyfus Corp.)		None	J	T					
37. IRA DWS Variable Series One (formerly Scudder Kemper)		None	J	T					
38. Rochester Municipal Class A	A	Dividend			sell	12/28	M	A	
39. Brokerage Account #1									
40. Excelsior NY Tax Exempt Money Fund*	B	Int./Div.	M	T					
41. Black Rock FDS INTL BD	B	Dividend			sell	9/10	K	B	
42. Excelsior High Yield Fund	B	Interest			sell	7/25	K	B	
43. Excelsior Int Term Tax Exempt Fund	A	Int./Div.			sell	1/12	M	A	
44. Excelsior NY Inter-term tax exempt Fund	D	Int./Div.	M	T	buy	1/16	M		
45. Excelsior NY Inter-term tax exempt Fund					buy	4/10	K		
46. Excelsior NY Inter-term tax Exmpt Fund					buy	7/26	K		
47. Excelsior Large Cap Growth Fund		None	M	T					
48. Excelsior Value and Restructuring	C	Distribution	M	T					
49. Kalmar Growth Small Cap Fund	B	Distribution			sell	6/22	K	D	
50. Pimco Foreign Bond Fund Inst. Unhedged	A	Dividend	K	T	buy	9/11	K		
51. Pimco Funds Development Local Market	B	Dividend	J	T	buy	9/11	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 I = \$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)
52. Royce Opportunity Fund	B	Distribution			sell	12/17	K	A	
53. Excelsior Pacific Asia Fund	A	Distribution			sell	6/22	K	D	
54. Lazard Emerging Mkts	C	Dividend	K	T					
55. Excelsior Equity Opp. Fund (Equity Core)	A	Distribution	K	T	buy	10/31	K		
56. Excelsior Directional Hedge Fund of Funds		None	M	T					
57. Julius Baer Inv. Fund	B	Dividend	M	T	buy	6/25	K		
58. John Hancock Classic Value	A	Dividend			sell	10/30	K	B	
59. John Hancock Class Value	C	Distribution			sell	12/17	K	A	
60. Bufallo Fund Midcap Fund	A	Dividend			buy	6/22	K		
61. Bufallo Fund Midcap Fund	C	Distribution			sell	12/31	K	A	
62. Blair William Fund Int. Small Cap Growth Class1	B	Dividend	K	T	buy	6/25	K		

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)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

Part VII l. 4. This is just a sweep account for cash that accumulates in a brokerage account.

Part VII l. 40. This is just a sweep account for cash that accumulates in a brokerage account.

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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