

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
UNITED STATES COURTHOUSE
500 PEARL STREET
NEW YORK, NEW YORK 10007-1312

CHAMBERS OF
P. KEVIN CASTEL
UNITED STATES DISTRICT JUDGE

July 16, 2007

Honorable Otrrie D. Smith, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Calendar Year 2006 Filing

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2007 JUL 23 A 11:17
FINANCIAL
DISCLOSURE OFFICE

Dear Judge Smith:

I am in receipt of your letter dated June 27, 2007 and write to respond to the four numbered items on the second page of your letter. My numbered paragraphs (below) correspond to your numbered paragraphs on the second page. This letter should be deemed an amendment to my 2006 Financial Disclosure Report ("FDR").

1. Part VII, page 9, line 76 of 2006 FDR: "Brk Act #2 NYS Med Care FACS FIN AGY MENT HLTH F 5.375/14" was sold on February 15, 2005 and should not have been listed in my 2006 FDR.
2. Part VII, page 17, line 209 of 2006 FDR: "Brk Act #6 NP" earned a "Dividend" and the amount code in Column B(1) should be listed as "A".
3. Part VII, page 20, lines 251 and 252 of 2006 FDR: "Brk Act #11 Fidelity Funds (Stock)" and "Brk Act #11 Spartan Eq Index". The "Fidelity Funds (Stock)" was, in fact, sold and the proceeds invested in "Spartan Eq Index" in 2005 and no "Fidelity Funds (Stock)" was held in this account in 2006.
4. (a) Part VII, page 5, lines 25 of the 2005 FDR: "Brk Act #2 NYS Dorm Auth Revs SECD HOSP 5/06". This bond was held in 2006 until it was "redeemed" on the maturity date, February 15, 2006, with no gain and no loss. The 2006 income (Column B(1)) is in category "B".
(b) Part VII, page 5, lines 26 of the 2005 FDR: "Brk Act #2 MTA NY Excess Loss FD 4.3/06". This bond was held in 2006 until it was "redeemed" on the

maturity date, July 3, 2006, with no gain and no loss. The 2006 income (Column B(1)) is in category "B".

I hope this fully satisfies your inquiry. Please contact me if you require any additional information.

Sincerely,

P. Kevin Castel

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) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 05/1/2007
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 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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. President	St. John's School of Law, Alumni Association (uncompensated)
2. Trustee (ex officio as former president)	Federal Bar Council (uncompensated)
3.	
4.	
5.	

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of 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.
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. 2006	Cahill Gordon & Reindel LLP (fees received in 2006 for fiscal 2005 attributable to services prior to 10/31/03 withdrawal)	\$ 29,723
2. 2007	Cahill Gordon & Reindel LLP (fees received in 2007 for fiscal 2006 attributable to services prior to 10/31/03 withdrawal)	\$ 16,707
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	Teachers Insur and Annuity Assoc (payments to surviving beneficiary under Retirement Plan)
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.	
2.	
3.	
4.	

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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.		
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. Brk Act #1 Fidelity Worldwide [FWWFX]	D	Dividend	M	T	buy	1/27	K		
2. same as above					buy	1/31	K		
3. same as above					buy	2/23	K		
4. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	E	Dividend	N	T					
5. Brk Act #1 Fidelity Cash Reserves [FDRXX]	F	Dividend	P1	T	sell	1/20	K		
6. same as above					sell	1/23	K		
7. same as above					sell	1/27	K		
8. same as above					sell	2/23	K		
9. same as above					sell	5/26	K		
10. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	D	Dividend	N	T					
11. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	D	Dividend	N	T					
12. Brk Act #1 Fidelity Balanced [FBALX]	E	Dividend	N	T	buy	1/20	K		
13. same as above					buy	1/23	K		
14. same as above					buy	1/27	K		
15. same as above					buy	5/26	K		
16. Brk Act #1 [Spartan] NY Muni Income	B	Dividend			sell	1/27	K		
17. same as above					sell	1/31	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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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)
18. same as above					sell	2/9	K		
19. same as above					sell	5/15	L		
20. Fidelity Export & Multinat'l [FEXPX]	A	Dividend	L	T	buy	5/15	L		
21. Brk Act #2 SB Muni Mny Mkt Port CL A	B	Dividend	L	T					
22. Brk Act #2 NQN (Nuveen NY) invt Qualtiy Mun Fd	A	Dividend			sell	1/19	K	A	
23. Brk Act #2 AIM Aggr Grwth Fd Class A		None		T	sell	1/19	K	D	
24. Brk Act #2 First Eagle Overseas Fund Class A (Pt VIII)	A	Dividend	K	T					
25. Brk Act #2 LM [SB] Appreciation Fd CL A		None	N	T					
26. Brk Act #2 LM [SB] Muni Fd NY Port CL A	E	Dividend	O	T					
27. Brk Act #2 LM [SB] Intermediate Maturity NY Muni Fund CLA	E	Dividend			sell	1/19	O	A	
28. Brk Act #2 LM [SB] Large Cap Grwth FD CL A		None	M	T	buy	1/19	K	A	
29. Brk Act #2 LM [SB] Cap FD CL A	A	Dividend			sell	12/16	M	A	
30. Brk Act #2 CBF		None	K	T	buy	11/16	L		
31. Brk Act #2 SCD	A	Dividend	M	T	buy	12/13	M		
32. Brk Act #2 Units Nuveen TE UT TR #61 M NY Insd Ser 61	A	Dividend	J	T					
33. Brk Act #2 NYS Trwy Auth Gen Rev Ser B 4.9/07	B	Interest	K	T					
34. Brk Act #2 Triborough B & T Auth NY GEN	B	Interest	K	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 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)					
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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				
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PURP SER A 5/07									
35. Brk Act #2 NYC G/O SER J 5/07 (5/06)	B	Interest			redemption	2/15	K	B	
36. Brk Act #2 NYS Dorm Au REVS City U 4.625/07	B	Interest	K	T					
37. Brk Act #2 NYS Dorm Au Revs Rockefeller U 4.3/07	B	Interest	L	T					
38. Brk Act #2 NYS Dorm Au REVS M Filmore Hosp 5.125/08	C	Interest	L	T					
39. Brk Act #2 NYS Dorm Au Jewish Med Ctr 4.5/07	A	Interest	K	T					
40. Brk Act #2 NYC Gen Oblig Ser H 4.5/08	B	Interest	L	T					
41. Brk Act #2 NY NY SER M AMBAC 5/08 (/07)	B	Interest	L	T					
42. Brk Act #2 NYS DORM AU REVS 5/08	C	Interest	M	T					
43. Brk Act #2 Nassau Co Ser Z 5/08	B	Interest	K	T					
44. Brk Act #2 Nassau Cty COMB SWR DISTR SER Y 5/08	B	Interest	L	T					
45. Brk Act #2 NYC TFA Tax 4.25/08	B	Interest	L	T	buy	3/2	L		
46. Brk Act #2 NYST AU LOC HGHWY&BRIDGE 5/09	C	Interest	M	T					
47. Brk Act #2 NYS Dorm Au Revs New Island Hosp 5.2/09	D	Interest	M	T					
48. Brk Act #2 NY NY SER J 4.625/10	B	Interest	K	T					
49. Brk Act #2 NYC Gen Oblig SER K 5/10	B	Interest	L	T					
50. Brk Act #2 NYS TWY AUTH 5.25/10 (/08)	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	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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☐ NONE (No reportable income, assets, or transactions.)

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51. Brk Act #2 NY NY RFDG Ser J 5/10[08]	B	Interest	L	T					
52. Brk Act#2 NYC G/O Ser G 3.125/10 [4/10]	C	Interest	L	T					
53. Brk Act #2 Nassau Co Ser C 5.25/10	C	Interest	L	T					
54. Brk Act #2 NYS Dorm AU Staten Isl U Hosp 4.9/10	B	Interest	L	T					
55. Brk Act #2 NYC G/O SER C 4.375/11	C	Interest	M	T					
56. Brk Act #2 NYC G/O SER D 5.4/11 (/07)	D	Interest	M	T					
57. Brk Act #2 NYS Dorm Au REVS ST Vincent's H 5.5/11	C	Interest			redemption	2/1	K	A	
58. Brk Act #2 NYC RFDG Ser H SubSer H6 1.040/11(3.45/11)	E	Interest	N		sell	10/12	L	A	
59. Brk Act #2 NYS ENV FACS 5/11	A	Interest	K	T					
60. Brk Act #2 NYNY Ser F 5.125/11	B	Interest	K	T					
61. Brk Act #2 NYC Transitional Auth 4.6/11	B	Interest	K	T					
62. Brk Act#2 LIPA 5.125/11[08]	C	Interest	L	T					
63. Brk Act # 2 Eire Cnty NY Pub Impt Ser A 5/11	B	Interest	L	T					
64. Brk Act #2 NY NY Ser J 4/12	C	Interest	M	T					
65. Brk Act #2 NYS Dorm Auth City Univ 5.75/12 (/09)	C	Interest	L	T					
66. Brk Act #2 NYC RFDG Ser F 5.25/12	A	Interest	J	T					
67. Brk Act #2 Nassau Co Gen Imo Ser V	C	Interest	M	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 =\$250,000,001 - \$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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NONE (No reportable income, assets, or transactions.)

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5.25/13 (5.25/07)									
68. Brk Act #2 NYC G/O Ser H 5.25/13 (/09)	A	Interest	K	T					
69. Brk Act #2 NY NY Ser J FGIC-TCRS 5.35/12	B	Interest	K	T					
70. Brk Act #2 NYS Dorm Auth Upstate Comin Coll Rev B 5/13 [/10]	B	Interest	L	T					
71. Brk Act #2 NY NY RFDG Ser B-FGIC TCRS 5.75/13	C	Interest	L	T					
72. Brk Act #2 Medina NY Cent Sc Dist 4.75/13	B	Interest	K	T					
73. Brk Act #2 LIPA 5/13 [08]	C	Interest	M	T					
74. same as above	B	Interest	L	T	buy	12/19	L		
75. Brk Act #2 NYS Dorm AU RFDG SECD HOSP NYDTWN 5.2/014	C	Interest	L	T					
76. Brk Act #2 NYMedCare FACSFNAGYMENTHLTH F 5.375/14	C	Interest	L	T					
77. Brk Act #2 NYS Dorm Auth Revs Ithaca Coll 5/13	B	Interest	K	T					
78. Brk Act #2 MTA NY 4.75/13	A	Interest	K	T					
79. Brk Act #2 NYS Dorm AU Revs Third Gen Res 5.25/13	C	Interest	L	T					
80. Brk Act #2 NYS Dorm AU Revs Lutherern Med 5/13	C	Interest	L	T					
81. Brk Act #2 NYC GO Ser J 4/13	B	Interest	M	T	buy	5/24	M		
82. Brk Act #2 Buffalo NY Ser B 5.375/13 [12]	B	Interest	K	T	buy	1/12	K		
83. Brk Act #2 Nassau Cty IFA Ser A 5/13	B	Interest	K	T	buy	4/27	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 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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NONE (No reportable income, assets, or transactions.)

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84. Brk Act #2 Camden NY Cent Sch DIST SER A 4.5/14	B	Interest	L	T					
85. Brk Act #2NYC MUN WTR FIN 00/14	A	Interest	J	T					
86. Brk Act #2 NYS DORM AU Iona Coll 4.3/14	B	Interest	L	T					
87. Brk Act #2 Nassau Cty NY GENIMPT SER X 5.1/14 (/07)	D	Interest	M	T					
88. Brk Act #2 LI Pwr Au [LIPA] 5/14[08]	B	Interest	L	T					
89. Brk Act #2 NYC Ser J 5.25/14 (/09)	B	Interest	K	T					
90. Brk Act #2 Sharon Springs MunWtr 4.8/14	B	Interest	K	T					
91. Brk Act #2 NYS Dorm Au Colgate 4.625/14	B	Interest	K	T					
92. Brk Act #2 NYC Ser A G/O 4.3/14	C	Interest	L	T					
93. Brk Act #2 LI Pwr Au [LIPA] 5/14	B	Interest	K	T					
94. Brk Act #2 Bethlehem NY Cent Sch Dt 5.125/14[07]	B	Interest	K	T					
95. Brk Act #2 NYS Dorm Au Lease Rev Mun Hlth 5.5/14	B	Interest	K	T					
96. Brk Act #2 Buffalo NY Gen ImpSer A 4.7/14 [11]	B	Interest	M	T	buy	6/15	M		
97. Brk Act #2 NYC GO Ser I 4.5/14[13]	A	Interest	K	T	buy	7/11	K		
98. Brk Act #2 West Seneca Cent Sch 4.125/14		None	M	T	buy	6/30	K		
99. Brk Act #2 NYC GO Ser G 4/14 (Part VIII)	C	Interest	M	T					
100. Brk Act #2 Buffalo NY SER C Parking	C	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 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				

Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	Income during reporting period		Gross value at end of reporting period		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)	Identity of buyer/seller (if private transaction)

4.7/15[12]									
101. Brk Act #2 LI NY Pwr Au Elec SYS [LIPA] 5/15[08]	C	Interest	M	T					
102. Brk Act #2 No Babylon Sch Dt 5.25/15	B	Interest	K	T					
103. Brk Act #2 NYS TWY AU 5/15 (/09)	D	Interest	M	T					
104. Brk Act #2 NY,NY Ser I 5.25/15 (/09)	C	Interest	L	T					
105. Brk Act #2 NYC REF Ser B G/O 5.75/15	C	Interest	L	T					
106. Brk Act #2 NY,NY RFDG Ser G 5/15	B	Interest	K	T					
107. Brk Act #2 NYS ENRGY R&D AU ORNGE & ROCK float/15	B	Interest			sell	1/5	L	A	
108. same as a above					sell	7/3	L	A	
109. Brk Act #2 LI Pwr Au[LIPA] 4/15	B	Interest	K	T					
110. Brk Act #2 Carle Place 5.4/15	B	Interest	K	T					
111. Brk Act #2 NYNY Ser A 5.25/15	B	Interest	K	T					
112. Brk Act #2 MTA 5.25/15	C	Interest	L	T					
113. Brk Act#2 NYC Trans Fin 4/15	C	Interest	M	T					
114. Brk Act #2 NYC Health & Hosp 4.55/16	C	Interest	M	T					
115. Brk Act #2 Nassau Co GenImpt Ser Y 5/16	B	Interest	K	T					
116. Brk Act # 2 NYC G/O Ser H 5.25/16	C	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 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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Castel, P .Kevin

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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)
117. Brk Act #2 NYS Dorm Au St Johns U 5/16	B	Interest	K	T					
118. Brk Act #2 NY, NY Trans Fin Au 4.75/16	B	Interest	K	T					
119. Brk Act #2 LIPA 5.125/16	C	Interest	L	T					
120. Brk Act #2 NY NY Ser J 5.25/16	D	Interest	M						
121. Brk Act #2 NYS Dorm Au RVS City U 5/16	B	Interest	L	T					
122. Brk act #2 NYS Env Fac Corp St Clean Wtr 5/17	B	Interest	L	T					
123. Brk Act #2 NY NY RFDG Ser J 5/17	A	Interest	K	T					
124. Brk Act #2 NYC Ser G G/O 5/17	B	Interest	M	T					
125. Brk Act #2 NYS Dorm AU City U 5/18 (/08)	B	Interest	L	T					
126. Brk Act #2 NYC SER B Gen Obl 5.375/18 [8]	C	Interest	L	T			0		
127. Brk Act #2 LI NYPWR AU [LIPA] 5/18	C	Interest	M	T					
128. Brk Act #2 NYS Dorm Au St Josephs H 5.25/18	A	Interest	K	T					
129. Brk Act #2 Buffalo NY Mun Wtr Fin Au 5/19	A	Interest	K	T					
130. Brk Act #2 Buffalo Ser C 5/19	C	Interest	M	T					
131. Brk Act #2 LIPA 5.3/19	C	Interest	L	T					
132. Brk Act #2 NYC Trans F/A Rev 5.25/21	C	Interest	L	T					
133. Brk Act #2 Triborough B & T AU 5/24	C	Interest	M	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	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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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)
134. Brk Act #2 Triborough B & T Au [1.95/32] 3.47/32[3.85/32]	E	Interest	P1	T	buy	1/23	P1		
135. same as above					sell	9/25	L	A	
136. Brk Acct #2 Kayne Anderson MLP INVT Co (KYN)	B	Dividend			sell	12/13	K	D	
137. Bkt Act #2 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	L	T					
138. Brk Act #4 NYS Dorm Au Southside Hosp 5/06	B	Interest			redemption	2/15	K	A	
139. Brk Act #4 NYS Dorm Au UTD Health 4.8/06	B	Interest			redemption	8/1	K	A	
140. Brk Act #4 NYS Dorm Au City U 4.625/07	B	Interest	K	T					
141. Brk Act #4 Port Auth 119th Ser 5/07	B	Interest	K	T					
142. Brk Act #4 NYS Dorm Mtg Hosp 4.95/08	B	Interest	K	T					
143. Brk Act #4 NYNY Ser H MBIA 5/09	B	Interest	L	T					
144. Brk Act #4 NYS Thrwy 5.1/10	C	Interest	L	T					
145. Brk Act #4 NYC G/O Ser C 4.35/11	B	Interest	L	T					
146. Brk Act #4 NYC RFDG Ser H, subser H6 float/12	C	None	L	T					
147. Brk Act #4 MTA FRDG Ser A 4.3/13	B	Interest	L	T					
148. Brk Act #4 NYS Dorm Coulumbia U. 5.25/13	A	Interest	K	T	buy	5/14	K		
149. Brk Act #4 Nassau Cty Gen Impt Ser X 5.1/14 [07]	C	Interest	L	T					
150. Brk Act # 4 NYC GO Ser E 5/14	B	Interest	L	T	buy	4/4	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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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)
151. Brk Act #4 New Rochelle NY School 5.25/14	B	Interest	K	T	buy	43/7	K		
152. Brk Act #4 NYC Ref Ser B G/O 5.75/15	B	Interest	K	T					
153. Brk Act #4 NYC Health & Hosp 4.5[4.55]/16	A	Interest	K	T					
154. Brk Act #4 Hudson Falls NY Cent Sch 4.625/16	B	Interest	K	T					
155. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	L	T					
156. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
157. Brk Act #4 Port Auth 125th Ser 5/18	B	Interest	K	T					
158. Brk Act # 4 MTA 4.5/18	B	Interest	K	T					
159. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18		None	L	T	buy	9/01	L		
160. Brk Act #4 SB Muni NY MNY MKT PORT CL A	B	Dividend			sell	1/19	K	A	
161. Brk Act #4 SB Muni Funds NY Port CL A	B	Dividend			sell	1/19	K	A	
162. Brk Act #4 SB Intermediate Maty NY Muni FD CLA	A	Dividend			sell	1/19	L	A	
163. Brk Act #4 LM[SB] Large Cap Growth Fund CL A		None	K	T					
164. Brk Act #5 SB Muni NY MNY MKT PORT CL A	A	Dividend	K	T					
165. Brk Act #5 LM[SB] Apprec Fd CL A		None	K	T					
166. Brk Act #5 SM Muni FD NY Port CL A	C	Dividend			redemption	1/19	L	A	
167. Brk Act #5 SB Intermediate Maty NY Muni	B	Dividend			redemption	1/19	L	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 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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Castel, P .Kevin

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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 (I-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

FD CLA									
168. Brk Act #5 SB Large Cap Growth Fund CL A	D	Dividend	K	T					
169. Brk Act #5 NYS Dorm Au 4.8/06	B	Interest			redemption	8/1	K	A	
170. Brk Act #5 NYS Dorm AU City U 4.625/07	B	Interest	K	T					
171. Brk Act #5 Port Auth NYNJ 119th Ser 5/07	B	Interest	L	T					
172. Brk Act #5 NYS Dorm UTD Hlth Svcs 4.95/08	B	Interest	K	T					
173. Brk Act #5 NYS Twy Au Hwy & Brdg 5/08	B	Interest	K	T					
174. Brk Act #5 NY NY Ser H 5/09	B	Interest	L	T					
175. Brk Act #5 NYS Dorm Au Mntl Hlth 5.25/09	B	Interest	K	T					
176. Brk Act #5 NYS Thrwy AU 5.1/10	C	Interest	L	T					
177. Brk Act #5 NYC G/O SER C 4.375/11	B	Interest	L	T					
178. Brk Act #5 NYS Dorm Au ST U EDL 5.250/11	B	Interest	K	T					
179. Brk Act #4 MTA 4.75/13	B	Interest	K	T					
180. Brk Act #5 Corning NYC Sch Dist SerB 4.25/13	B	Interest	L	T					
181. Brk Act #5 NYS Dorm Au Rev UMW 5/13	A	Interest	K	T	buy	2/22	K		
182. Brk Act #5 Nassau Cnty NY Gen Impt Ser X 5.1/14[07/08]	C	Interest	L	T					
183. Brk Act #5 NYS Env Clean & Drink WTR	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	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	T = Cash Market
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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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)
5.050/14									
184. Brk Act #5 New York NY RFDG Ser H 5/16	B	Interest	L	T	buy	3/17	L		
185. Brk Act #5 NYC Ref B G/O 5.75/15	B	Interest	K	T					
186. Brk Act #5 NY, NY Ser H 5/15	A	Interest	K	T					
187. Brk Act #5 MTA 5.25/15	C	Interest	L	T					
188. Brk Act #5 NYC Health&Hosp 4.55/16	A	Interest	K	T					
189. Brk Act #5 Hudson Falls NY Cent 4.65/16	B	Interest	K	T					
190. Brk Act #5 NYC G/O Ser B 5.25/18	C	Interest	L	T					
191. Brk Act #5 NYS Dorm Au Rev Kaleida Hlth 4.25/18		None	L	T	buy	9/1	L		
192. Brk Act #6 SB Money Funds Cash Port CLA	A	Dividend	J	T					
193. Brk Act #6 SB Muni NY Mkt Port CL A	A	Dividend	J	T					
194. Brk Act #6 ADP	A	Dividend	J	T					
195. Brk Act #6 BBY	A	Dividend	K	T					
196. Brk Act #6 CSCO		None	J	T					
197. Brk Act #6 CTAS	A	Dividend	J	T					
198. Brk Act #6 Citigroup	A	Dividend	K	T					
199. Brk Act #6 Dell		None			sell	12/19	J	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 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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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)
200. Brk Act #6 GE	A	Dividend	J	T					
201. Brk Act #6 HD	A	Dividend	J	T	part sell	12/19	J	B	
202. Brk Act #6 IBM	A	Dividend	J	T					
203. Brk Act #6 KMB	A	Dividend	J	T					
204. Brk Act #6 KSS		None	J	T					
205. Brk Act #6 LLY	A	Dividend			sell	12/19	J	B	
206. Brk Act #6 MDT	A	Dividend	K	T					
207. Brk Act #6 MRK	A	Dividend	J	T					
208. Brk Act #6 MSFT	A	Dividend	J	T					
209. Brk Act # 6 NP		Dividend			sell	5/5	J	A	
210. Brk Act #6 PFE	A	Dividend	J	T					
211. Brk Act #6 WMT	A	Dividend	J	T					
212. Brk Act #6 WAG	A	Dividend	J	T					
213. Brk Act #6 WFC	A	Dividend	J	T					
214. Brk Act #7 Citibank NA Bank Dep Program	B	Interest	K	T					
215. Brk Act #7 Safra Nat Bank C/D	B	Interest	K	T					
216. Brk Act #7 Lehman Bros 4.150/15	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	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	T = Cash Market
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)
217. Brk Act # 7 PWC	A	Dividend	K	T	buy	6/1	J		
218. Brk Act #8 Citibank Bank Dep Prog	A	Interest	J	T					
219. Brk Act #8 SB Appreciation FD CL A		None	K	T					
220. Brk Act #8 John Hancock Trift Oppty Fd Equity portfolio(BTO)	C	Dividend	K	T					
221. Brk Act #9 SB MUNI NY MNY MKT PORT CL A	D	Interest	M	T					
222. Brk Act #9 Nuveen NY Select Qual (NVN)	A	Interest			sell	1/23	K	A	
223. Brk Act #9 CBF		None	K	T	buy	11/16	K		
224. Brk Act #9 EEM	A	Dividend	J	T	buy	6/1	J		
225. same as above					buy	11/16	J		
226. Brk Act #9 PWC	A	Dividend	L	T	buy	6/1	K		
227. same as above					buy	11/16	K		
228. Brk Act #9 PRF	A	Dividend	L	T	buy	6/1	K		
229. Brk Act #9 PZI	A	Dividend	J	T	buy	6/1	J		
230. same as above					buy	11/16	J		
231. Brk Act #9 MFS Intl New Disc Fund C	A	Dividend	K	T	buy	6/1	K		
232. Brk Act #9 NYC Muni Water SWR 0/14[09]	A	Interest	K	T	buy	1/23	K		
233. Brk Act #9 NYS Energy R&D	A	Interest	L	T	buy	11/29	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

Castel, P .Kevin

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05/1/2007

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)
Rock/Orange 3.51/14									
234. Brk Act #9 Bank Hapoalim CD 5.1/06	B	Interest			buy	6/28	L		
235. same as above					redeemption	12/28	L	A	
236. Brk Act #10 SB MUNI NY MNY PORT CL A	D	Interest	M	T					
237. Brk Act #10 Nuveen NY Sel Qual (NVN)	A	Interest			sell	1/23	K	A	
238. Brk Act #10 CBF		None	K	T	buy	11/16	K		
239. Brk Act #10 EEM	A	Dividend	J	T	buy	6/1	J		
240. same as above					buy	11/16	J		
241. Brk Act #10 PWC	A	Dividend	L	T	buy	6/1	K		
242. same as above					buy	11/16	K		
243. Brk Act #10 PRF	A	Dividend	K	T	buy	6/01	K		
244. Brk Act #10 PZI	A	Dividend	J	T	buy	6/01	J		
245. same as above					buy	11/16	J		
246. Brk Act #10 MFS Intl New Disc Fund C	A	Dividend	K	T	buy	6/01	K		
247. Brk Act #10 NYC Muni Water SWR 0/14[09]		None	K	T	buy	1/23	K		
248. Brk Act #10 NYS Ennergy R&D Rock/Orange 3.51/14	A	Interest	L	T	buy	11/29	L		
249. Brk Act #10 Bank Hapoalim CD 5.1/06	B	Interest			buy	6/28	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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Castel, P .Kevin

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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)
250. same as above					redemption	12/2	L	A	
251. Brk Act #11 Fidelity Funds(Stock)		None			sell	10/1	M	D	
252. Brk Act #11 Spartan US Eq Index		None	N	T	buy	10/1	M		
253. Brk Act #11 MSIFT CP Fx Inst		None	M	T					
254. Brk Act #12 PHX Oakhurst Strat Alloc FD A	A	Dividend	J	T					
255. Brk Act #12 PHX Oakhurst Inc&Growth FD A	A	Dividend	J	T					
256. Brk Act #13 Fidelity Divers Intl [FDIVX]	B	None	M	T	buy	1/23	K		
257. same as above					buy	1/24			
258. same as above					buy	2/9	K		
259. Brk Act #13 Fidelity Equity Inc[FEQIX]	B	Dividend	O	T	buy	1/24	K		
260. Brk Act #13 Fidelity Inter Bond [FTHR]	E	Interest	N	T	sold	1/24	L		
261. same as above					sold	2/9	K		
262. same as above					sold	5/15	L		
263. Brk Act #13 Fidelity Export & Multinat'l [FEXPX]	A	Dividend	L	T	buy	5/18	K		
264. Brk Act #13 Fidelity Disciplined Equity[FDEQX]	C	Dividend	L	T	buy	5/16	K		
265. same as above					buy	5/18	K		
266. Brk Act # 13 Fidelity Value [FDVLX]	D	Dividend	L	T	buy	5/18	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 =\$250,001 - \$500,000	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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Castel, P .Kevin

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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)
267. Brk Act #13 Fidelity Capital Apprec [FDCAX]		None	L	T	buy	5/19	K		
268. same as above					buy	5/25	K		
269. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	D	Interest	M	T	sold	1/23	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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Castel, P .Kevin

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

References to "2005 FDR" are to the amended report for 2005. The additional information provided in this Part VIII should be deemed to be amendments to the relevant prior year's Financial Disclosure Reports.

Part III: NON-INVESTMENT INCOME

A. Filer's Non-Investment Income.

The amount reported as Item 1, \$29,723, was previously reported on the 2005 FDR.

Part VII: INVESTMENTS AND TRUSTS

I also have one bank account which is not interest bearing.

All mutual funds noted in 2005 FDR as "SB" or " Smith Barney" have been renamed as "Legg Mason" which is abbreviated as "LM".

2005 FDR:

Page 5, line 19 of 2005 FDR. Brk Act #2 NY NY SER D 6/05. Column C ("Gross value at end of reporting period") should have been left blank because, as reported in the 2005 FDR, the bond was redeemed on 2/15/05.

Page 7, line 56 of 2005 FDR. Brk Act #2 NYC Transitional Auth 4.6/11. The position was erroneously reported having been sold on 7/27/05. I continue to hold. Page 8, line 73 of 2005 FDR Brk Act #2 NYSMedCare FACSFINAGYMENTHLTH F 5.375/14 should have been listed as sold on 2/15/05. The Value Code for the Transaction (Column D(3)) was "K" and the Gain Code (Column D(4)) was "A".

Page 5, line 23 of the 2005 FDR. Brk Act #1 Fidelity Insurance Mutual Fund. The two 2005 sales were of the entire position and Column C should have been left blank.

2006 FDR:

Page 10, line 99 of 2006 FDR. Brk Act #2 NYC GO Ser G 4/14 should have been listed on 2004 FDR and 2005 FDR as bought on 2/12/04 at Value Code M.

Pages 20-21, lines 256-269 of 2006 FDR. As noted in the 2005 FDR, Brk Act #13 and Brk Act #14 were combined into one account in 2005 and are listed as Brk Act #13.

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Castel, P .Kevin

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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



Date

5-1-07

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