

AO 10
Rev. 1/2010

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009**

*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) STEIN, SIDNEY H.	2. Court or Organization U.S. Federal District Court	3. Date of Report 8/16/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.D.C. Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. Courthouse 500 Pearl Street New York, New York 10007-1312	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Directors
Practising Law Institute, a not for profit organization for continuing legal education
2. _____
3. _____
4. _____
5. _____

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

☒ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1. _____
2. _____
3. _____

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NEW YORK

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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. 2009	West Services, Inc. - Royalty	\$6,936.42
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.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. NY City Bar Association and National Committee on US-China Relations	12/5/09 - 12/15/09	Beijing and Nantung, China	Participating in Chinese govt rule of law conf. & conferences w/Chinese bar ass'ns.	Transportation, lodging and food
2.				
3.				
4.				
5.				

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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.		
2.		
3.		
4.		
5.		

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code I (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. MONEY MARKETS									
2. JPMORGAN U.S. GOVT.	B	Interest	PI	T					
3. DREYFUS MUNI MARKET	C	Interest	L	T					
4. (now BNY Mellon Natl Muni Market Fd.)									
5.									
6. COMMON STOCKS									
7. BERKSHIRE HATHAWAY CORP.		None	PI	T					
8. 5180 GRANT AVENUE CORP.	D	Dividend	PI	W					
9. JANUS CORE EQUITY FUND (IRA)	G	Dividend	PI	T					
10.									
11. TAX EXEMPT BONDS									
12. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
13. NEW YORK ST MTG AGY REV HOMETOWN MTG-29-A-RMKT	C	Interest	M	T					
14. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
15. NY STATE PWR AUTH REV & GEN PURP SER DETM	A	Interest	K	T	Redeemed (part)	1/2/09	J		
16. NYS STATE POWER AUTH SER G 1/1/10	B	Interest	K	T	Redeemed (part)	1/2/09	J		
17. NYS MTG AGY	D	Interest			Sold	5/26/09	M	B	

- | | | | | | |
|---|---|---|--|--|--|
| 1. Income Tax Codes:
(See Columns B1 and D4) | A = \$1,000 or less
J = \$10,001 - \$100,000 | B = \$1,001 - \$2,500
K = \$100,001 - \$1,000,000 | C = \$2,501 - \$5,000
L = \$1,000,001 - \$5,000,000 | D = \$5,001 - \$15,000
M = More than \$5,000,000 | E = \$15,001 - \$50,000
N = More than \$50,000,000 |
| 2. Value Codes
(See Columns C1 and D3) | F = \$50,000 or less
O = \$250,001 - \$500,000 | G = \$50,001 - \$200,000
P = \$500,001 - \$1,000,000 | H = \$10,001 - \$50,000
Q = \$50,001 - \$1,000,000 | I = \$100,001 - \$1,000,000
R = More than \$1,000,000 | J = \$1,000,001 - \$5,000,000
S = More than \$5,000,000 |
| 3. Value Method Codes
(See Column C2) | U = Appraisal
V = Book Value | W = Cost (Real Estate Only)
X = Other | Y = Assessment
Z = Estimated | AA = 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. NEW YORK ST. HSG FIN AGY GEN SER A	D	Interest	M	T					
19. NEW YORK STATE POWER AUTH.	C	Interest	K	T					
20. DUTCHESS CTY. NY 5%, 8/1/09	B	Interest			Sold	3/17/09	M	B	
21. MTA N.Y. 5%, 7/1/11	C	Interest	M	T					
22. N.Y.S. ENV. 5.25%, 10/15/20	C	Interest			Sold	6/12/09	M	B	
23. N.Y.C. 5% DUE 2/1/24	D	Interest	M	T					
24. N.Y.S. THRWY. AUTH. 5.3%, 4/1/15	D	Interest	M	T					
25. N.Y.S. SER. C 4/15/13	B	Interest			Sold	3/25/09	M	D	
26. LONG ISLAND PWR 5%, 8/1/17	C	Interest	M	T					
27. ARDSLEY NY 4.25%. 6/	C	Interest	M	T					
28. PORT AUTH. NY & NJ 5%, 2/1/20	D	Interest	M	T					
29. TOBACCO SETTLEMENT FING CORP. 5%, 6/1/12	A	Interest	K	T					
30. ERIE CTY NY 5.75%, 5/1/25	C	Interest	L	T					
31. NASSAU CTY NY 5%, 7/1/22	C	Interest	M	T					
32. NYS DORM 5%, 7/1/21	C	Interest	M	T					
33. TRIBOROUGH BRDG & TUNL 5%, 11/15/23	C	Interest	L	T					
34. MINNEAPOLIS MINN. 6.375%, dtd 11/12/08	A	Interest	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 Q = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 F1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes: (See Column C2)					

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Name of Person Reporting
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. NYS DORM AUTH 5%, dtd 3/15/24	C	Interest	M	T					
36. NYS DORM 5.25%, 5/15/15	D	Interest	M	T	Buy	3/11/09	M		
37. NASSAU CTY N.Y. 5%, 11/15/15	C	Interest	M	T	Buy	3/17/09	M		
38. NYC, NY 2.75%, 1/1/36	B	Interest	M	T	Buy	4/1/09	L		
39. CALIFORNIA STATE 5.5%, 4/1/19	B	Interest	L	T	Buy	4/2/09	L		
40. CITIZENS PPTY INS. CORP. 5.5%, 6/1/16	C	Interest	L	T	Buy	5/7/09	L		
41. MTA 5.5%, 11/15/17	B	Interest	L	T	Buy	5/26/09	L		
42. NYS DORM 5%, 2/15/18	B	Interest	M	T	Buy	6/2/09	M		
43. ALLEGHENY CITY, PA. 5%, 8/15/19	B	Interest	L	T	Buy	6/3/09	L		
44. NORTH PENN. PA 5%, 9/1/16	B	Interest	M	T	Buy	6/5/09	M		
45. NYC, NY 5.25% 9/1/21	C	Interest	M	T	Buy	6/15/09	M		
46. NYS DORM 5%, 7/1/18		None	K	T	Buy	11/5/09	K		
47. CALIFORNIA ST 5%, 7/1/17		None	K	T	Buy	11/5/09	K		
48.									
49. MUTUAL FUNDS									
50. BRANDYWINE FUND INC.		None	O	T					
51.									

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 - \$13,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. VANGUARD 500 INDEX FUND					Buy	3/27/09	J		
53. VANGUARD 500 INDEX FUND					Buy	6/24/09	J		
54. VANGUARD 500 INDEX FUND					Buy	8/19/09	M		
55. VANGUARD 500 INDEX FUND					Buy	9/29/09	K		
56. VANGUARD 500 INDEX FUND	F	Dividend	P1	T	Buy	12/29/09	K		
57. DAVIS NY VENTURE FUND INC. CL. A	D	Dividend	P1	T	Buy	12/23/09	J		
58. BNY MELLON NY TAX EXEMPT FUND					Buy	1/30/09	J		
59. BNY MELLON NY TAX EXEMPT FUND					Buy	2/27/09	J		
60. BNY MELLON NY TAX EXEMPT FUND					Buy	4/2/09	J		
61. BNY MELLON NY TAX EXEMPT FUND					Buy	5/4/09	J		
62. BNY MELLON NY TAX EXEMPT FUND					Buy	6/2/09	J		
63. BNY MELLON NY TAX EXEMPT FUND					Buy	7/2/09	J		
64. BNY MELLON NY TAX EXEMPT FUND					Buy	8/4/09	J		
65. BNY MELLON NY TAX EXEMPT FUND					Buy	9/2/09	J		
66. BNY MELLON NY TAX EXEMPT FUND					Buy	10/2/09	J		
67. BNY MELLON NY TAX EXEMPT FUND					Buy	11/3/09	J		
68. BNY MELLON NY TAX EXEMPT FUND	G	Dividend	P1	T	Buy	12/2/09	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 P1 = \$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 2 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. FRONTEGRA FUNDS	D	Dividend	P1	T	Buy	12/21/09	J		
70. VANGUARD INDEX FUNDS					Buy	9/3/09	N		
71. VANGUARD INDEX FUNDS					Buy	9/24/09	J		
72. VANGUARD INDEX FUNDS	D	Dividend	N	T	Buy	12/22/09	J		
73.									
74. MISCELLANEOUS									
75. CASH, JPMORGAN CHASE	E	Interest	O	T					
76. FINE ARTS HELD AS TENANT-IN-COMMON	D	Rent	P1	W					
77. ARBOR PPTY TRUST		None	K	T					
78. SERVICEMASTER LP		None	M	T					
79.									
80. NOTE: JUDGE STEIN HAS ELECTED NOT TO LIST INFORMATION									
81.									

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 H = \$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 I11 = \$1,000,001 - \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000 I12 = More than \$5,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report)*

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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