

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

CHAMBERS OF
SIDNEY H. STEIN
UNITED STATES DISTRICT JUDGE

November 2, 2006

Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Washington, DC 20544

RECEIVED
2006 NOV - 6 A 11:01
FINANCIAL
DISCLOSURE OFFICE

Re: Calendar Year 2005 Filing

Dear Committee:

I write in response to your letter dated October 11, 2006.

Part I, line 1, should read "President and Member, Board of Directors, [REDACTED]
[REDACTED] under the heading "Position." As set forth on the financial disclosure report, that
entity is a not for profit cooperative housing corporation [REDACTED]
[REDACTED]

Part VII, page 6, line 49, column B(1), should read "A."

I believe this responds in full to your enquiries.

Very truly yours,

[REDACTED]
Sidney H. Stein, U.S.D.J.

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2005

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 8/17/2006
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	6. Reporting Period 01/01/2005 to 12/31/2005
7. Chambers or Office Address U.S. Courthouse 500 Pearl Street New York, New York 10007-1312	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. President and Member, Board of Directors

A not for profit cooperative housing corporation that owns the building [REDACTED]

2.

3.

4.

5.

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

2.

3.

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2005	West Group - Royalty	\$ 3,903.34
2.		
3.		
4.		
5.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2005	
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.	
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. 32-34 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. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(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. MONEY MARKETS									
2.									
3. JPMORGAN U.S. GOVT.	E	Interest	M	T	Part Sale	2-25	O		
4. DREYFUS MUNI MKT	C	Interest	M	T					
5. COMMON STOCKS									
6. BANKAMERICA CORP. COM					Buy	8-1	L		
7. BANKAMERICA CORP. COM.	D	Dividend	M	T	Buy	9-13	K		
8. BERK SHIRE HATHAWAY CORP. COM		None	P1	T					
9. FEDERAL NATIONAL MTG ASSN COM.					Buy	4-13	K		
10. FEDERAL NATIONAL MTG ASSN COM.					Buy	8-1	K		
11. FEDERAL NATIONAL MTG ASSN COM.	B	Dividend	L	T	Buy	11-2	K		
12. 5180 GRANT AVENUE CORP.	D	Dividend	P1	W					
13. MICROSOFT CORP. COM.					Buy	3-10	K		
14. MICROSOFT CORP. COM.	B	Dividend	M	T	Buy	8-1	K		
15. ARROW ELECTRIC		None			Sold	8-7	J	B	
16. ARROW ELECTRIC					Buy	8-1	J		
17. ARROW ELECTRIC		None	K	T	Buy	8-24	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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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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						(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. CSX CORP.					Part Sale	4-22	J	B	
19. CSX CORP.					Part Sale	7-29	L	E	
20. CSX CORP.	A	Dividend	L	T	Buy	8-1	K		
21. NORFOLK SOUTHERN	A	Dividend	L	T	Buy	8-1	K		
22. AMERICAN ELECTRIC POWER					Part Sale	4-22	J		
23. AMERICAN ELECTRIC POWER	A	Dividend	J	T	Part Sale	8-2	K	D	
24. CHUBB CORP.					Part Sale	4-22	K	C	
25. CHUBB CORP.	B	Dividend	M	T	Buy	8-1	K		
26. COOPER TIRE & RUBBER	A	Dividend	J	T					
27. FEDERATED DEPT. STORES	A	Dividend			Sold	7-18	K	E	
28. INGRAM MICRO INC.					Part Sale	4-22	J	A	
29. INGRAM MICRO INC.		None			Sold	7-29	K	C	
30. OCCIDENTAL PET.	B	Dividend	M	T	Buy	8-1	J		
31. SUPERVALUE INC.	A	Dividend	K	T	Buy	8-1	J		
32. VF CORP.	A	Dividend	J	T	Part Sale	2-2	K	E	
33. WISCONSIN ENERGY	B	Dividend	L	T	Buy	8-1	K		
34. AMERICAN INTL GROUP INC.					Buy	8-1	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. 34-57 of filing instructions)

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

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	(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, merger, redemption)	If not exempt from disclosure			
						(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. AMERICAN INT'L GROUP INC.	A	Dividend	K	T	Part Sale	2-22	M	D	
36. AVNET, INC.		None	K	T					
37. BURLINGTON NORTHERN SANTA FE CORP.	A	Dividend			Sold	5-9	K	E	
38. NATIONAL CITY CORP.					Part Sale	7-25	K	D	
39. NATIONAL CITY CORP.	B	Dividend	L	T	Buy	8-1	J		
40. TECH DATA CORP.		None	J	T					
41. COMCAST CORP. CL. A		None	K	T	Buy	8-1	K		
42. FREDDIE MAC					Buy	2-10	J		
43. FREDDIE MAC					Buy	8-1	K		
44. FREDDIE MAC	B	Dividend	L	T	Buy	12-27	K		
45. LEAR CORPORATION	A	Dividend	J	T	Buy	8-1	J		
46. LEHMAN BROTH. HOLDINGS					Part Sale	3-7	J	B	
47. LEHMAN BROTH. HOLDINGS					Part Sale	7-6	J	A	
48. LEHMAN BROTH. HOLDINGS	A	Dividend	K	T	Part Sale	8-31	K	D	
49. MAGNA INTL. INC. CLASS A		Dividend	K	T					
50. NORTEL NETWORKS CORP.		None	J	T					
51. PFIZER INC.		None			Sold	1-18	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=\$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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						(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. SMURFIT STONE					Buy	8-1	J		
53. SMURFIT STONE		None	K	T	Buy	10-31	K		
54. SOLECTRON CORP.					Buy	8-1	J		
55. SOLECTRON CORP.					Buy	10-28	J		
56. SOLECTRON CORP.		None	K	T	Buy	10-31	J		
57. TELLABS INC.		None	K	T	Buy	10-5	J		
58. WACHOVIA CORP.	C	Dividend	M	T	Buy	8-1	K		
59. APACHE CORP.		None			Sold	1-3	N	G	
60. BJ SERVICES CO.					Part Sale	1-7	L	C	
61. BJ SERVICES CO.	A	Dividend			Sold	2-22	M	F	
62. BED BATH & BEYOND		None			Sold	2-22	M	E	
63. CONOCO PHILLIPS					Part Sale	7-25	K	E	
64. CONOCO PHILLIPS					Buy	8-1	J		
65. CONOCO PHILLIPS	B	Dividend	L	T	Buy	10-31	K		
66. CONSTELLATION ENERGY	B	Dividend	L	T					
67. COOPER INDUSTRIES CL. A		None	L	T	Buy	8-1	K		
68. DELL COMPUTERS		None			Sold	2-22	M	F	

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 \$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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69. EBAY INC.		None			Sold	2-22	N	G	
70. GILEAD SCIENCES		None			Sold	2-22	M	G	
71. HEWLETT PACKARD					Part Sale	4-22	J	A	
72. HEWLETT PACKARD	B	Dividend	M	T	Buy	8-1	K		
73. JANUS CORE EQUITY FUND (IRA)	C	Dividend	O	T					
74. MARTEK BIOSCIENCES		None			Sold	2-22	N	G	
75. MEAD WESTVACO CORP.	A	Dividend			Sold	5-27	K	A	
76. METLIFE INC.	A	Dividend	L	T	Buy	8-1	K		
77. NABORS INDUSTRIES LTD.					Part Sale	1-7	M	E	
78. NABORS INDUSTRIES LTD.		None			Sold	2-22	M	F	
79. SCHLUMBERGER	A	Dividend			Sold	2-22	N	G	
80. SPRINT CORP. (Now SPRINT NEXTEL)					Part Sale	2-22	K	D	
81. SPRINT CORP. (Now SPRINT NEXTEL)					Buy	8-1	K		
82. SPRINT CORP. (Now SPRINT NEXTEL)	A	Dividend	M	T	Buy	10-5	K		
83. ST. PAUL TRAVELERS					Buy	8-1	K		
84. ST. PAUL TRAVELERS	A	Dividend	L	T	Buy	10-5	J		
85. ALTRIA GROUP INC.	C	Dividend	M	T	Buy	8-1	K		

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86. BP PLC	C	Dividend	M	T	Buy	8-1	L		
87. CHEVRON TEXACO (Now CHEVRON CORP.)	B	Dividend	M	T	Buy	8-1	K		
88. CITIGROUP INC.					Buy	4-12	K		
89. CITIGROUP INC.	D	Dividend	N	T	Buy	8-1	L		
90. CO STAR GROUP		None			Sold	2-22	N	F	
91. ENTERGY CORP.					Buy	8-1	J		
92. ENTERGY CORP.	B	Dividend	K	T	Part Sale	8-2	K	A	
93. FLEXTRONICS					Buy	8-1	K		
94. FLEXTRONICS					Buy	10-5	K		
95. FLEXTRONICS		None	L	T	Buy	12-21	J		
96. GENERAL ELECTRIC					Buy	2-10	J		
97. GENERAL ELECTRIC					Part Sale	6-28	J		
98. GENERAL ELECTRIC	C	Dividend	M	T	Buy	8-1	K		
99. GETTY IMAGES		None			Sold	2-22	N	G	
100. GLAXO SMITHKLINE					Part Sale	2-2	K	C	
101. GLAXO SMITHKLINE		None			Sold	3-11	K	D	
102. GOLDMAN SACHS GROUP INC.					Part Sale	3-22	M	F	

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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103. GOLDMAN SACHS GROUP INC.	A	Dividend	L	T	Buy	8-1	K		
104. HARTFORD FINANCIAL SERV. GROUP INC.	A	Dividend	L	T	Buy	8-1	K		
105. KROGER CO.		None	K	T	Buy	8-1	K		
106. MARTEN TRANSPORT LTD.		None			Sold	2-25	K	C	
107. PEPSICO	A	Dividend	L	T	Buy	8-1	K		
108. PROTEIN DESIGN LABS		None			Sold	2-22	M	D	
109. QUEST SOFTWARE		None			Sold	2-2	M	E	
110. SAFEWAY, INC.	A	Dividend	K	T	Buy	8-1	J		
111. TEXTRON INC.					Buy	8-1	J		
112. TEXTRON INC.	B	Dividend	L	T	Part Sale	8-22	J	A	
113. X M SATELLITE RADIO CL. A					Part Sale	1-12	L	E	
114. X M SATELLITE RADIO CL. A		None			Sold	2-22	N	G	
115. AUDIO CODES LTD.					Part Sale	1-12	L	D	
116. AUDIO CODES LTD.		None			Sold	2-9	M	E	
117. ARCHIPELAGO HOLDINGS					Buy	1-10	J		
118. ARCHIPELAGO HOLDINGS					Buy	1-11	J		
119. ARCHIPELAGO HOLDINGS					Buy	1-12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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STEIN, SIDNEY H

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. ARCHIPELAGO HOLDINGS					Buy	1-13	J		
121. ARCHIPELAGO HOLDINGS					Buy	1-14	J		
122. ARCHIPELAGO HOLDINGS					Buy	1-18	J		
123. ARCHIPELAGO HOLDINGS					Buy	1-26	J		
124. ARCHIPELAGO HOLDINGS					Buy	1-27	J		
125. ARCHIPELAGO HOLDINGS					Buy	1-28	J		
126. ARCHIPELAGO HOLDINGS					Buy	2-2	J		
127. ARCHIPELAGO HOLDINGS					Buy	2-3	J		
128. ARCHIPELAGO HOLDINGS					Buy	2-4	J		
129. ARCHIPELAGO HOLDINGS		None			Sold	2-22	K		
130. BILL BARRETT CORP.		None			Sold	1-3	J	C	
131. BOEING CO.	B	Dividend	L	T	Buy	8-1	K		
132. BORG WARNER	A	Dividend	K	T	Buy	8-1	J		
133. BRUNSWICK CORP.		None			Sold	2-22	N		
134. CHINA NET COM GROUP		None			Sold	2-22	N	F	
135. COLDWATER CREEK					Part Sale	1-26	K	D	
136. COLDWATER CREEK					Part Sale	2-9	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 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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STEIN, SIDNEY H

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. COLDWATER CREEK					Part Sale	2-11	K	D	
138. COLDWATER CREEK					Part Sale	2-22	L	E	
139. COLDWATER CREEK		None			Sold	2-23	M	F	
140. CUMMINS INC.					Part Sale	1-11	K	D	
141. CUMMINS INC.	B	Dividend			Sold	2-22	M	F	
142. DREAMWORKS ANIMATION		None			Sold	2-22	M		
143. DR HORTON INC.	A	Dividend			Sold	2-22	M	E	
144. EOG RESOURCES					Part Sale	1-7	L		
145. EOG RESOURCES		None			Sold	1-12	L		
146. 51 JOB INC.		None			Sold	1-24	M		
147. FLIR SYSTEMS		None			Sold	2-22	N	F	
148. GEN PROBE INC.		None			Sold	2-22	N	F	
149. GENENTECH INC.		None			Sold	2-22	M		
150. HARRIS & HARRIS		None			Sold	2-22	M		
151. HUGHES SUPPLY INC.	A	Dividend			Sold	2-22	M		
152. INPHONIC INC.					Part Sale	1-24	K		
153. INPHONIC INC.		None			Sold	1-25	K	C	

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. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. INTERPUBLIC GROUP					Buy	2-18	J		
155. INTERPUBLIC GROUP					Buy	8-1	K		
156. INTERPUBLIC GROUP		None	L	T	Buy	12-2	K		
157. JONES APPAREL					Buy	8-1	K		
158. JONES APPAREL					Buy	11-2	K		
159. JONES APPAREL					Buy	11-7	J		
160. JONES APPAREL	A	Dividend	K	T	Part Sale	12-1	K		
161. J JILL GROUP					Part Sale	1-7	L		
162. J. JILL GROUP					Part Sale	1-10	L		
163. J. JILL GROUP					Part Sale	1-12	L		
164. J. JILL GROUP		None			Sold	1-14	L		
165. KANBAY INTERNATIONAL					Buy	1-19	L		
166. KANBAY INTERNATIONAL					Buy	1-20	J		
167. KANBAY INTERNATIONAL		None			Sold	2-22	M		
168. LAS VEGAS SANDS CORP.		None			Sold	2-22	L	D	
169. MANULIFE FINANCIAL					Part Sale	2-4	J	B	
170. MANULIFE FINANCIAL	A	Dividend			Sold	3-29	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimate	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. 34-57 of filing instructions)

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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, merger, 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)
171. MARKETAXESS HLDGS.		None			Sold	2-9	L		
172. MEDCO HEALTH SOLUTIONS		None	L	T					
173. MICROSYSTEM INC.		None			Sold	2-22	N	E	
174. NET TEASE COM INC.					Part Sale	1-22	L		
175. NET TEASE COM INC.		None			Sold	2-9	L		
176. NINETOWNS DIGITAL WORLD		None			Sold	1-6	J		
177. NOKIA CORP.		None			Sold	1-7	M	E	
178. ORANGE 21 INC.		None			Sold	2-18	K		
179. PATTERSON UTI ENERGY					Part Sale	1-7	M	D	
180. PATTERSON UTI ENERGY		None			Sold	2-22	M	F	
181. PROCTOR & GAMBLE	A	Dividend	K	T	Buy	8-1	J		
182. QUICKSILVER RESOURCES					Part Sale	1-3	M	E	
183. QUICKSILVER RESOURCES					Part Sale	1-12	L	E	
184. QUICKSILVER RESOURCES		None			Sold	2-22	M	E	
185. RANGE RESOURCES		None			Sold	1-3	M		
186. RED HAT INC.		None			Sold	1-12	L		
187. RED ROBIN GOURMET BURGERS					Part Sale	2-22	M	E	

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.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. RED ROBIN GOURMET BURGERS		None			Sold	2-25	L	D	
189. ROYAL CARIBBEAN CRUISES					Part Sale	2-9	M		
190. ROYAL CARIBBEAN CRUISES					Part Sale	2-11	K		
191. ROYAL CARIBBEAN CRUISES		None			Sold	2-22	M		
192. SHANDA INTERACTIVE					Buy	1-4	J		
193. SHANDA INTERACTIVE					Buy	1-5	J		
194. SHANDA INTERACTIVE					Part Sale	1-28	K		
195. SHANDA INTERACTIVE		None			Sold	2-9	M		
196. SHOPPING.COM LTD.					Part Sale	2-9	M		
197. SHOPPING.COM LTD.		None			Sold	2-11	M		
198. SINA CORP.		None			Sold	1-28	M		
199. SUNTRUST BANK					Buy	1-4	J		
200. SUNTRUST BANK					Buy	2-10	J		
201. SUNTRUST BANK					Sold	5-17	J		
202. SUNTRUST BANK					Buy	8-1	J		
203. SUNTRUST BANK	B	Dividend	J	T	Part Sale	8-19	J		
204. TEXAS ROADHOUSE INC. CLASS A		None			Sold	2-22	M	E	

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. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. THE 9 LTD.		None			Sold	1-3	J	A	
206. TIME WARNER	A	Dividend	M	T	Buy	8-1	K		
207. UNILEVER NV	A	Dividend	K	T					
208. WEBSEN INC.					Part Sale	1-28	K		
209. WEBSEN INC.					Part Sale	1-31	L		
210. WEBSEN INC.	B	Dividend			Sold	2-3	L		
211. XL CAPITAL CLASS A					Buy	6-20	J		
212. XL CAPITAL CLASS A	A	Dividend	K	T	Buy	8-1	K		
213. XEROX		None			Sold	2-25	N	E	
214. YAHOO INC.		None			Sold	2-22	N	F	
215. ADC TELECOMMUNICATIONS					Buy	8-1	J		
216. ADC TELECOMMUNICATIONS		None	K	T	Buy	10-5	K		
217. CLOROX CO.					Buy	9-1	L		
218. CLOROX CO.	A	Dividend	L	T	Buy	10-7	J		
219. CROWN CASTLE INTL		None	J	T	Buy	10-31	J		
220. EATON CORP.	A	Dividend	K	T	Buy	8-1	J		
221. ELECTRONIC DATA SYSTEMS CORP.					Buy	4-14	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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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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. ELECTRONIC DATA SYSTEMS CORP.	A	Dividend	L	T	Buy	8-1	K		
223. ENSCO INT'L					Buy	6-28	J		
224. ENSCO INT'L	A	Dividend	K	T	Buy	8-1	J		
225. EXXON MOBIL					Buy	6-20	J		
226. EXXON MOBIL					Buy	8-3	K		
227. EXXON MOBIL	A	Dividend	M	T	Buy	10-31	K		
228. FEDERATED INVESTORS CL. B	A	Dividend	K	T	Buy	9-14	K		
229. GENWORTH FINANCIAL	A	Dividend	K	T	Buy	8-30	K		
230. GFI GROUP					Buy	1-31	L		
231. GFI GROUP					Buy	2-1	K		
232. GFI GROUP					Buy	2-2	J		
233. GFI GROUP					Buy	2-3	J		
234. GFI GROUP		None			Sold	2-22	M		
235. GLOBAL SANTA FE CORP.					Buy	5-20	K		
236. GLOBAL SANTA FE CORP.					Buy	6-20	J		
237. GLOBAL SANTA FE CORP.	A	Dividend	L	T	Buy	8-1	K		
238. GOODRICH CORP.					Buy	4-13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A=\$1,000 or less F=\$50,001 - \$100,000 J=\$15,000 or less N=\$250,001 - \$500,000 P3=\$25,000,001 - \$50,000,000 Q=Appraisal U=Book Value	B=\$1,001 - \$2,500 G=\$100,001 - \$1,000,000 K=\$15,001 - \$50,000 O=\$500,001 - \$1,000,000 R=Cost (Real Estate Only) V=Other	C=\$2,501 - \$5,000 H1=\$1,000,001 - \$5,000,000 L=\$50,001 - \$100,000 P1=\$1,000,001 - \$5,000,000 P4=More than \$50,000,000 S=Assessment W=Estimated	D=\$5,001 - \$15,000 H2=More than \$5,000,000 M=\$100,001 - \$250,000 P2=\$5,000,001 - \$25,000,000 T=Cash Market	E=\$15,001 - \$50,000
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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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. GOODRICH CORP.	A	Dividend	J	T	Buy	8-1	J		
240. HALLIBURTON CO.					Buy	2-4	N		
241. HALLIBURTON CO.		None			Sold	2-22	N	E	
242. HCA INC.	A	Dividend	J	T	Buy	8-1	J		
243. HUBBELL CL. B		None	J	T	Buy	2-15	J		
244. INTEL CORP.					Buy	8-24	K		
245. INTEL CORP.	A	Dividend	K	T	Buy	10-5	J		
246. INTL BUS. MACHINES	A	Dividend	K	T	Buy	8-1	K		
247. INTERNATIONAL GAME TECH					Buy	1-18	M		
248. INTERNATIONAL GAME TECH		None			Sold	2-22	M		
249. JOHNSON & JOHNSON	A	Dividend	K	T	Buy	8-1	K		
250. KELLOGG CO.	A	Dividend	J	T	Buy	8-1	J		
251. KIMBERLY CLARK	A	Dividend	K	T	Buy	8-1	K		
252. LILLY (ELI) & CO.					Buy	8-1	K		
253. LILLY (ELI) & CO.					Buy	8-17	J		
254. LILLY (ELI) & CO.	A	Dividend	L	T	Buy	9-6	J		
255. LO JACK CORP.					Buy	1-26	M		

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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STEIN, SIDNEY H

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. LO JACK CORP.		None			Sold	2-2	M	C	
257. LIMITED BRANDS					Buy	8-1	K		
258. LIMITED BRANDS	A	Dividend	K	T	Buy	12-13	K		
259. MARATHON OIL	A	Dividend	K	T	Buy	8-1	J		
260. MARCHEX INC. CL. B					Buy	2-8	J		
261. MARCHEX INC. CL. B					Buy	2-9	J		
262. MARCHEX INC. CL. B					Buy	2-14	L		
263. MARCHEX INC. CL. B		None			Sold	2-22	M	D	
264. MARTIN MARIETTA					Buy	2-10	J		
265. MARTIN MARIETTA	A	Dividend	K	T	Buy	8-1	J		
266. MCDONALDS CORP.	A	Dividend	K	T	Buy	8-1	K		
267. MEASUREMENT SPECIALTIES					Buy	1-26	M		
268. MEASUREMENT SPECIALTIES					Buy	1-27	K		
269. MEASUREMENT SPECIALTIES					Buy	1-28	K		
270. MEASUREMENT SPECIALTIES		None			Sold	2-20	N	D	
271. MERCK & CO.					Buy	8-17	J		
272. MERCK & CO.					Buy	8-24	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
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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STEIN, SIDNEY H

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. MERCK & CO.	A	Dividend	L	T	Buy	9-16	K		
274. MERRILL LYNCH					Buy	2-10	J		
275. MERRILL LYNCH					Buy	8-1	K		
276. MERRILL LYNCH	A	Dividend	L	T	Buy	8-16	K		
277. MINE SAFETY APPL.					Buy	1-12	K		
278. MINE SAFETY APPL.					Buy	1-13	J		
279. MINE SAFETY APPL.					Buy	1-14	J		
280. MINE SAFETY APPL.					Buy	1-18	K		
281. MINE SAFETY APPL.					Buy	1-19	J		
282. MINE SAFETY APPL.					Buy	1-20	J		
283. MINE SAFETY APPL.					Buy	1-24	J		
284. MINE SAFETY APPL.					Buy	1-25	J		
285. MINE SAFETY APPL.					Buy	1-26	K		
286. MINE SAFETY APPL.					Buy	1-27	K		
287. MINE SAFETY APPL.					Buy	1-28	J		
288. MINE SAFETY APPL.					Buy	2-2	J		
289. MINE SAFETY APPL.	A	Dividend			Sold	2-22	M		

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. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. NATIONAL OILWELL INC.					Buy	1-3	M		
291. NATIONAL OIL WELL INC.		None			Sold	2-22	M	E	
292. NOBLE CORP.					Buy	5-20	K		
293. NOBLE CORP.	A	Dividend	K	T	Buy	10-25	J		
294. OFFICE DEPOT					Buy	8-1	K		
295. OFFICE DEPOT					Buy	10-5	J		
296. OFFICE DEPOT		None	L	T	Buy	10-28	J		
297. OPTION EXPRESS					Buy	2-1	J		
298. OPTION EXPRESS	A	Dividend			Sold	2-17	J	A	
299. PINNACLE WEST CAPITAL	A	Dividend	J	T	Buy	8-1	J		
300. PPG INDUSTRIES	A	Dividend	J	T	Buy	8-1	J		
301. RENAISSANCERE HLDGS					Buy	8-1	J		
302. RENAISSANCERE HLDGS	A	Dividend	K	T	Buy	8-9	K		
303. SANMINA SCI CORP.					Buy	5-20	J		
304. SANMINA SCI CORP.		None	K	T	Buy	8-1	J		
305. STERICYCLE INC.					Buy	1-12	K		
306. STERICYCLE INC.					Buy	1-13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. STERICYCLE INC.					Buy	1-18	K		
308. STERICYCLE INC.					Buy	1-19	K		
309. STERICYCLE INC.					Buy	1-20	K		
310. STERICYCLE INC.					Buy	1-21	K		
311. STERICYCLE INC.					Buy	1-25	M		
312. STERICYCLE INC.		None			Sold	2-22	N		
313. TARGET CORP.					Buy	1-4	J		
314. TARGET CORP.					Buy	2-7	K		
315. TARGET CORP.					Buy	3-10	K		
316. TARGET CORP.	A	Dividend	L	T	Buy	8-1	K		
317. TOYOTA MOTOR CORP.		None	K	T	Buy	10-11	K		
318. UTI WORLDWIDE					Buy	1-12	L		
319. UTI WORLDWIDE					Buy	1-18	K		
320. UTI WORLDWIDE					Buy	1-20	J		
321. UTI WORLDWIDE					Buy	1-21	J		
322. UTI WORLDWIDE					Buy	1-24	K		
323. UTI WORLDWIDE					Buy	1-25	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions)

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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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. UTI WORLDWIDE					Buy	1-26	J		
325. UTI WORLDWIDE					Buy	1-28	L		
326. UTI WORLDWIDE					Buy	1-31	J		
327. UTI WORLDWIDE		None			Sold	2-22	N	D	
328. VASCO DATA SECURITY INT'L					Buy	1-20	J		
329. VASCO DATA SECURITY INT'L					Buy	1-21	J		
330. VASCO DATA SECURITY INT'L		None			Sold	2-22	N	B	
331.									
332. TAX EXEMPT BONDS									
333. NY ST TWY AUTH HWY & BRDG TR FD SER A N/C AMBAC	D	Interest	M	T					
334. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
335. NEW YORK ST MTG AGY REV HOMETOWN MTG-29-A-RMKT	C	Interest	M	T					
336. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
337. NY STATE PWR AUTH REV & GEN PURP SER DETM	D	Interest	M	T	Part Sale	1-1	J	A	
338. TRIBORO BRIDGE & TUNNEL AUTH 4.75% 1/1/05	C	Interest			Redeemed	1-5	M	C	
339. NEW YORK STATE POWER AUTH SER G 1/1/10	C	Interest	L	T					
340. NEW YORK STATE LOCAL GOVT. ASST. 4/1/05	A	Interest			Redeemed	4-1	J		

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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. 34-57 of filing instructions)

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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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. RENSSALAER CTY N.Y.	D	Interest	M	T					
342. NYS MTG AGY	D	Interest	M	T					
343. NYS THWY AUTH.	D	Interest	M	T	Part Sale	11-1	K	A	
344. NEW YORK ST. HSG. FIN. AGY. GEN. SER. A	D	Interest	M	T					
345. NEW YORK STATE POWER AUTH.	C	Interest	K	T	Part Sale	1-1	J		
346. DUTCHESS CTY, NY 5%, 8/1/09	C	Interest	M	T					
347. NYS DORM. AUTH. 5.375%, 2/15/07	D	Interest	M	T					
348. NYS SER. A 5%, 3/15/14	C	Interest	M	T					
349. MTA N.Y. 5%, 7/1/11	B	Interest	M	T					
350. TRIBOROUGH BRIDGE & TUNNEL 5.2%, 1/1/20	B	Interest	M	T					
351. N.Y.S. ENV. 5.25%, 10/15/20	C	Interest	M	T					
352. N.Y.C. 5% due 2/1/24	C	Interest	M	T	Buy	1-14	M		
353. NYS THRWY. AUTH. 5.3%, 4/1/15	C	Interest	M	T	Buy	3-4	M		
354.									
355. MUTUAL FUNDS									
356. BRANDYWINE FUND INC.		None	P2	T	Buy	6-7	O		
357. VANGUARD 500 INDEX 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	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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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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. DAVIS NY VENTURE FUND INC. CL. A	E	Dividend	P2	T	Buy	6-9	P1		
359. ICAP EQUITY					Buy	1-7	L		
360. ICAP EQUITY					Buy	4-6	J		
361. ICAP EQUITY	D	Dividend			Sold	6-3	P1		
362. ALLIANCE MUNICIPAL INCOME FUND					Buy	1-10	J		
363. ALLIANCE MUNICIPAL INCOME FUND					Buy	1-24	J		
364. ALLIANCE MUNICIPAL INCOME FUND	A	Dividend			Sold	2-25	O	E	
365. FIDELITY CAPITAL APPRECIATION FUND	D	Dividend	L	T					
366. FIDELITY DIVIDEND GROWTH FUND	B	Dividend	L	T					
367. T. ROWE PRICE EQUITY INCOME FUND	B	Dividend	L	T					
368. ABN-AMRO MONTAG & CALDWELL GROWTH FUND SER. 1					Buy	6-6	P1		
369. ABN-AMRO MONTAG & CALDWELL GROWTH FUND SER. 1					Buy	6-22	J		
370. ABN-AMRO MONTAG & CALDWELL GROWTH FUND SER. 1	D	Dividend	P1	T	Buy	9-26	J		
371. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	3-1	P1		
372. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	4-1	J		
373. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	5-18	J		
374. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	5-23	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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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	(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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	6-6	P1		
376. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	6-30	J		
377. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	7-26	J		
378. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	7-27	J		
379. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	8-26	J		
380. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	9-26	J		
381. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.					Buy	11-4	J		
382. BNY HAMILTON INTERMEDIATE N.Y. TAX EXEMPT FD.	E	Dividend	P1	T	Buy	11-25	J		
383. CDC INVEST FUNDS LOOMIS SAYLES LARGE CAP GROWTH FUND		None	P1	T	Buy	6-7	P1		
384. FIDELITY INT'L GROWTH & INCOME FUND					Buy	1-3	J		
385. FIDELITY INT'L GROWTH & INCOME FUND	B	Dividend	K	T	Buy	11-4	K		
386. STERLING CAPITAL SMALL CAP FUND					Buy	1-3	J		
387. STERLING CAPITAL SMALL CAP FUND	C	Dividend	K	T	Buy	11-4	K		
388. TRANSAMERICA PREMIER INST. EQUITY FUND					Buy	2-28	P2		
389. TRANSAMERICA PREMIER INST. EQUITY FUND					Buy	3-1	M		
390. TRANSAMERICA PREMIER INST. EQUITY FUND		None			Sold	4-4	P2		
391. TURNER SMALL CAP EQUITY FUND		None	P2	T	Buy	3-1	P2		

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

STEIN, SIDNEY H

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.									
393. MISCELLANEOUS									
394. CASH, J.P. MORGAN CHASE	E	Interest	O	T					
395. FINE ARTS HELD AS TENANT-IN-COMMON	D	Rent	P1	W					
396. ARBOR PPTY TRUST		None	K	T					
397. SERVICEMASTER LP		None	M	T					
398.									
399. NOTE: JUDGE STEIN HAS ELECTED NOT TO LIST									
400. INFORMATION BY FAMILY MEMBER									
401.									

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

[REDACTED] have contingent remainder interests in two charitable lead trusts. No information with respect to the trusts was included in Part VII since the [REDACTED] have no present beneficial interests in the trusts.

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Name of Person Reporting

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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

August 18, 2006

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