

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Seibel, Cathy	2. Court or Organization U.S. District Court --S.D.N.Y.	3. Date of Report 05/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge -- active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address Charles L. Bricant U.S. Courthouse 300 Quarropas St., Rm. 633 White Plains, NY 10601		
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.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. [REDACTED]	[REDACTED]
2. board member	Fordham Law Alumni Association
3. Lecturer-in-Law (part-time trial practice instructor)	Columbia University School of Law
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2012	\$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2013
2.	
3.	

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	Columbia University -- payment for teaching	\$10,000.00
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.)*

DATE	SOURCE AND TYPE
1. 2012	Columbia University -- salary as faculty member and physician
2. 2012	New York University -- salary as faculty member and physician
3. 2/2/12	Oxford University Press -- \$300 for manuscript review
4. 2/7/12	Wide-Eyed Entertainment -- \$250 for speaking (appearance in videos)
5. 3/3/12	Johns Hopkins University Press -- \$185 book royalty
6. 3/8/12	Columbia University/N.Y. State Psychiatric Institute -- \$300 for speaking
7. 4/2/12	University of Vermont -- \$500 for speaking
8. 4/2/12	Robert Shepard Agency -- transmission through book agent of \$338 book royalty from Johns Hopkins University Press
9. 4/19/12	University of Wisconsin -- \$2200 for speaking
10. 5/25/12	Downstate Medical Center -- \$750 for speaking
11. 10/19/12	Gannett -- \$250 for speaking (appearance on webinar)
12.	
13.	

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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.	Federal Bar Council	9/21/12-9/23/12	Skytop, PA	attendance at Fall Bench & Bar Retreat	lodging, meals, CLE programs for self and husband
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.	David Howard/New York Mets	6 tickets to game + refreshments	\$1,200.00
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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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)

1. American Century Vista Fund	A	Dividend	L	T					
2. Astoria Federal Savings account (CD)	A	Interest			Matured	01/03/12	M	B	
3. Astoria Federal Savings account (savings)	A	Interest	M	T					
4. Astoria Federal Savings account (CD)	A	Interest			Matured	01/18/12	L	C	
5. Astoria Federal Savings account (savings)	A	Interest	L	T					
6. Astoria Federal Savings account (checking)	A	Interest	J	T					
7. AT&T common stock	A	Dividend	J	T					
8. AT&T common stock	A	Dividend	J	T					
9. Brandywine Fund	A	Dividend	L	T					
10. Comcast common stock	A	Dividend	J	T					
11. Comcast common stock	A	Dividend	J	T					
12. Prudential (formerly Dryden) Global Total Return Fund	A	Dividend	J	T					
13. Dreyfus NY Tax-Exempt Bond Fund	B	Dividend	K	T					
14. Enbridge Energy Partners LP common stock	B	Dividend	K	T					
15. Fidelity Magellan Fund (IRA)	A	Distribution	K	T					
16. Fidelity Capital Appreciation Fund (IRA)	A	Distribution	K	T					
17. Fidelity NY Muni Income Fund	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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☐ 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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18. Janus Fund	B	Dividend	M	T					
19. John Hancock Patriot Premium Div Fund I common stock	B	Dividend	K	T					
20. Metropolitan Transportation Authority NY Municipal Bonds	A	Interest			Redeemed	09/06/12	J	A	
21. Morgan Stanley Active Assets Money Trust	A	Interest	L	T					
22. NY 529 Plan -- Moderate Age-Based Option Income Portfolio		None	K	T					
23. RS Growth Fund		None	L	T					
24. TIAA/CREF T-C Lifecycle 2025 Rtrmt. Fund	A	Dividend	K	T					
25. TIAA/CREF Lifecycle Index 2025 Prem. Fund	A	Dividend	J	T	Open	08/16/12	J		
26. TIAA/CREF stock fund (retirement annuity)		None	M	T					
27. TIAA/CREF global equity fund (retirement annuity)		None	K	T					
28. T. Row Price Blue Chip Growth Fund IRA	A	Dividend	K	T					
29. T. Rowe Price Blue Chip Growth Fund IRA	A	Dividend	K	T					
30. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
31. T. Rowe Price Prime Reserve Fund	A	Dividend	N	T					
32. T. Rowe Price Prime Reserve Fund	A	Dividend	N	T					
33. Vanguard 500 Index Fund (retirement annuity)	D	Dividend	N	T					
34. Vanguard International Growth Fund (retirement annuity)	B	Dividend	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Vanguard Long-Term Treasury Inv. Fun (retirement annuity)	A	Dividend	J	T	Open	08/28/12	J		
36. Vanguard Long-Term Bond Index Fund (retirement annuity)	A	Dividend	J	T	Open	08/28/12	J		
37. Vanguard Inflation-Protected Sec A Fun (retirement annuity)	A	Dividend	J	T	Open	08/28/12	J		
38. Zweig Total Return Fund Inc.	A	Dividend	J	T					

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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: **s/ Cathy Seibel**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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