

FINANCIAL DISCLOSURE REPORT

Calendar Year 2004

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) SPRIZZO, JOHN E	2. Court or Organization U.S. District Court - SDNY	3. Date of Report 5/9/2005
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5. ReportType (check appropriate type) ☐ Nomination, Date 11/10/1981 ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2004 to 12/31/2004
7. Chambers or Office Address 40 Centre Street New York, New York 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

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

☒ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.

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

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE REPORT

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SPRIZZO, JOHN E

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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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

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

1.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ NONE - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☐ NONE - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1. Mastercard

Credit Balance

K

2. First Sun America

Loan on Policy

K

3.

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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.)

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)	If not exempt from disclosure			
	Amount Code 1 (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, 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)
☐ NONE (No reportable income, assets, or transactions)									
1. TIAA Retirement Portfolio*	A	Interest	M	V					
2. Prudential Financial		None	J	T					
3. Chemworth Corp.		None	J	W					
4. Citibank N.A. - Account	D	Interest	J	T					

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

VII. Investments and Trusts:

*TIAA Retirement Portfolio

I was an Associate Professor of Law at Fordham School of Law from 1968-1972 and have just been made aware of this retirement account. See attached.

Your retirement portfolio: quarterly review



FINANCIAL SERVICES

FOR THE GREATER GOOD

Web Center

January 1, 2005 - March 31, 2005

Automated 24-Hour
Information

Personal Assistance

M-F, 8am-10pm ET
Sat., 9am-6pm ET

|||||
JOHN E SPRIZZO

portfolio summary

	this quarter	this year
Beginning value as of: (12/31/04)	\$144,309.87	\$144,309.87
Changes during the period:		
Contributions	0.00	0.00
Net investment gain/loss	-1,810.05	-1,810.05
TIAA Traditional interest	612.54	612.54
Ending value:	\$143,112.36	\$143,112.36

total value as of 03/31/05: \$143,112.36

your investment results & returns

	interest credited this quarter	interest credited thi year	value as of 03/31/05
Guaranteed			
TIAA Traditional	\$612.54	\$612.54	\$47,557.84
	\$612.54	\$612.54	\$47,557.84
	gains/losses this quarter	gains/losses this year	value as of 03/31/05
Equities			
CREF Stock	-1,810.05	-1,810.05	95,554.52
	-1,810.05	-1,810.05	\$95,554.52

total value as of 03/31/05

\$143,112.36

For current interest rates, rates of total return and expense charges for all TIAA-CREF accounts as of 03/31/05, refer to the enclosed performance card. For the most current performance information, visit our Web Center at [REDACTED]

A guaranteed annuity backed by TIAA's claims-paying ability, TIAA Traditional guarantees your principal and a specified interest rate, plus it offers the opportunity for additional amounts in excess of the specified rate.



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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5-9-05

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