

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) Owen, Richard	2. Court or Organization NY U.S. District Court S. Dist	3. Date of Report 5-18-10
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. Dist Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period to 11/1/09 - 12/31/09
7. Chambers or Office Address U.S. District Court 500 Pearl Street, Rm 2240 NY 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 filing instructions.)☒ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Manhattan School of Music
2.	Pres. & Board Member	NY Lyric Opera Co.
3.		
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.		
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.)

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.	2009	Music Royalties, ASCAP	\$270.63
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.	2009	Opera & Concert Singer; faculty member
2.		Manhattan School of Music; asst professor
3.		Barnard / Columbia Univ. in Voice
4.		

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

(Include 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.					
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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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) Identify if buy/sell (if private transaction)
1. Alcatel Lucent ADR	A	DIV	J	T					
2. AT&T	A	DIV	J	T					
3. Blackrock International	A	DIV	K	T	Buy	10-9-09	K		
4. Consolidated Edison	A	DIV	K	T					
5. Dow Chemical	A	DIV	J	T					
6. Fifth Third Bancorp	A	DIV	J	T					
7. Heinz & Co	A	DIV	J	T					
8. Hanes brand	A	None	J	T					
9. Hershey Co.	A	DIV	J	T					
10. Home Depot	A	DIV	K	T					
11. Intel	A	DIV	K	T					
12. Interpublic		None	K	T					
13. Johnson & Johnson	A	DIV	J	T					
14. Kimberly Clark	A	DIV	J	T					
15. Lazard Emerging	A	DIV	K	T	Buy	10-9-09			
16. LSI Corp.		None	J	T					
17. Marsh & McLennan Co	A	DIV	J	T					

1. Income Gains 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 Q — \$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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☐ 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 I (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. Motorola		None	J	T					
2. Motors Liquidation		None	J	T					
3. New World Brands		None	J	T					
4. Procter & Gamble	C	Div	M	T					
5. NY Times A		None	J	T					
6. Newen Tradewinds	A	Div	L	T	Buy	10-4-09	L		
7. Sare Lee Corp	A	Div	J	T					
8. Southern Co	A	Div	J	T					
9. US Bancorp	A	Div	J	T					
10. Wilmington Trust	A	Div	J	T					
11. Corning NYC School Bond 4.9% 11-15-11	A	Int	K	T					
12. Hilton CSD NY BOND 3.25-6-15-13	A	Int	K	T					
13. LI Power 5.5% 4/24	C	Int	L	T	Buy	7-17-09	L		
14. NY NY Ser C 5.25/3/12	B	Int	K	T					
15. NY NY 4.75% 8/25	B	Int	K	T	Buy	6-25-0	K		
16. NY Local Govt 5% 4/18	A	Int	K	T	Buy	10-9-9	K		
17. NYC Trans 5% 5/13	B	Int	K	T	Buy	7-27-9	L		

1. Income Gain Codes:
(See Columns B1 and D4)A = \$1,000 or less
F = \$50,001 - \$100,000B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

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 - \$50,000,000K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
T4 = More than \$50,000,000H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,0003. Value Method Codes
(See Column C2)Q = Appraisal
U = Book ValueR = Com (Real Estate Only)
V = OtherS = Assessment
W = Estimated

I = 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 asset (if private transaction)
1. NY Dorm 5.25% 2/20	C	Int	L	T	Buy	6-26-9	L		
2. NY Twy 3.75% 4/12	A	Int	J	T					
3. Oyster Bay 3.75 9/14	A	Int	J	T	Buy	10-9-9	J		
4. Rye Brook 3.375 4/13	A	Int	J	T					
5. South Huntington 3.6% 5/11	A	Int	J	T					
6. Buffalo 3.625% 12/14	A	Int	J	T					
7. Tobacco Sett. 5.5% 6/19	D	Int	L	T	Buy	10-9-9	L		
8. Tobacco Sett. 5% 6/12	A	Int	K	T	Buy	10-9-9	K		
9. West Babylon ^{FSD} 4 1/2 7/14	A	Int	J	F					
10. White Plains 4.15% 6/18	A	Int	K	T	Buy	10-9-9	K		
11. New York NY 5% 7/13	A	Int	J	T					
12. NYC Water Fm 4.75% 6/12	B	Int	K	T	Redemption	12-15-09	K	A	
13. NYC GO 5.25% 8/9	A	Int			Redemption	8-13-09	J	A	
14. FHLB 6.5% 11/9	A	Int			Redemption	11-13-09	K	A	
15.									
16.									
17.									

1. Income Code:

(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

H - \$1,000,001 - \$5,000,000

D - \$5,001 - \$15,000

I2 - 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)

Q = Appraisal

U = Book Value

R - Cost (Real Estate Only)

V = Other

S = Assessment

W = Estimated

T = Cash Market

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

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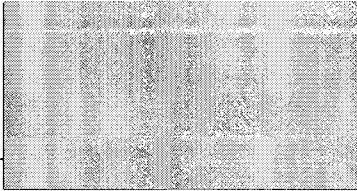
Date of Report

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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