

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Berman, Richard M.	2. Court or Organization U.S. District Court - S.D.N.Y.	3. Date of Report 06/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. District Court 500 Pearl Street New York, NY 10007		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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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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 TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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) Identity of buyer/seller (if private transaction)
1. Apple Inc	A	Dividend	L	T					
2. Liberty Media Corp Liberty Cap Cl A	A	Dividend	K	T					
3. LM CBA Equity Income Builder Fund CL A	A	Dividend	K	T					
4. Morgan Stanley Money Market Fund	A	Interest	L	T					
5. US Treasury Inflation Index NTS CPI Non Seasonally	A	Interest	M	T					
6. SPDR S&P 500 ETF Trust	C	Dividend	M	T	Buy (add'l)	10/16/17	K		
7.					Buy (add'l)	12/08/17	K		
8.					Buy (add'l)	12/11/17	J		
9.					Buy (add'l)	01/19/17	J		
10. Liberty Media Corp Liberty Cap com Ser A		None	K	T					
11. SPDR Gold Trust		None	J	T					
12. Vanguard 500 Index Trust	C	Distribution	N	T					
13. Vanguard Total Intl Index	C	Distribution	M	T					
14. Vanguard Total Stock Index	D	Distribution	M	T					
15. Ishares Russell 2000 Index Fund	B	Dividend	M	T					
16. UTS SPDR Trust Ser I	C	Dividend	L	T					
17. TSASC Inc NY TOB Settlement Asset	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 \$50,000,000	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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18. New York ST Urban Dev Corp Rev Personal Income Tax	B	Interest	M	T					
19. T-C Infl Lukd Bond Rtmt	A	Distribution	K	T					
20. T-C Lifecycle 2020 Rtmt		None	K	T					
21. T-C Lifecycle Rtmt Inc Rtmt	A	Distribution	K	T					
22. Property Indian River County, FL	E	Rent	L	W					
23. China Mobile LTD Spu ADR	A	Dividend			Sold	11/14/17	J	A	
24. SPDR Gold Trust		None	K	T					
25. Ishares TR Dow Jones US	A	Dividend	J	T					
26. Union Pacific corp	A	Dividend	K	T					
27. Rydex ETR TR Index Fund	A	Dividend	J	T					
28. New Jersey St Genl Obligation	A	Interest			Sold	01/13/17	K	A	
29. New York State Dorm Auth Pers Inc Tax Rev 2/15/2022	B	Interest	L	T					
30. Spartan Total Market Index	A	Interest	K	T					
31. Spartan Small Cap Index	A	Interest	K	T					
32. Costco Wholesale Crp	A	Dividend	K	T					
33. Goldman Sachs Group Inc	A	Dividend	K	T					
34. Liberty Media Corporation.com	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 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. Netflix	A	Dividend	K	T					
36. Liberty Media Corp Ser A		None	K	T					
37. United States Treasury Bill	B	Interest	M	T					
38. Liberty Spingo Inc Cl A	A	Dividend	J	T					
39. Invisa Inc	A	Dividend	J	T					
40. Stratasys LTD	A	Dividend	J	T					
41. Guggenheim S&P 500 Equal Weight	A	Dividend	L	T	Buy (add'l)	06/21/17	K		
42.					Sold (part)	11/14/17	J		
43. Vanguard S&P 500 ETF	A	Dividend	K	T	Sold (part)	11/14/17	J		
44. Rochester NY	C	Interest			Sold	03/31/17	M	A	
45. Metropolitan Tran Auth NY Tax FD A 11/15/2021	C	Interest			Sold	03/31/17	M	A	
46. Metropolitan Trans Auth NY Rev D 11/15/2018	B	Interest			Sold	03/31/17	M	A	
47. Liberty NY Dev Corp 10/1/2037	D	Interest	M	T					
48. Clearbridge Dividend Strat A	A	Int./Div.			Sold	12/08/17	J	A	
49. New Jersey Econ Dev Auth School	A	Interest			Sold	01/13/17	K	A	
50. Vanguard TTL Stk Mkt ETF	A	Dividend	K	T					
51. AB High Income A	A	Dividend	J	T					

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52. Doubleline Income Solutions	D	Dividend			Sold (part)	06/06/17	L	D	
53.					Sold	08/09/17	L	E	
54. Metropolitan Trans Auth 11/15/2024	B	Interest	L	T					
55. The Carlyle Group LP	C	Dividend	K	T					
56. NJ Econ Dev Auth School 3/1/2026	C	Interest			Sold	01/17/17	L	A	
57. NJ Trans Trust Fd Auth 6/15/2028	D	Interest			Sold	01/17/17	M	A	
58. NYC Trans Fin Auth Ser C 11/1/2035	D	Interest	M	T					
59. Nassau Cnty Genl Oblig Ser B 4/1/2022	B	Interest	K	T					
60. First Trust DJ Internet IDX		None	J	T					
61. Vanguard Info Tech	A	Dividend	J	T					
62. NYS Dorm Auth Suppor 10/1/2020	D	Interest	M	T					
63. Rockland Cnty Genl Oblig Pub Ser C 5/1/2021	D	Interest	M	T					
64. NYC Hsg Develop Multi Fam Rev G 11/1/2020	B	Interest	M	T					
65. Metropolitan Trans Auth Sub Ser A-1 11/15/2021	D	Interest			Sold	04/20/17	L	A	
66. US Treasury Note Inflation 7/15/2026	A	Interest			Sold (part)	04/20/17	J	A	
67.					Sold	07/25/17	M	A	
68. Fannie Mae		None			Sold	06/07/17	J	A	

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69. Freddie Mac		None			Sold	06/06/17	J	A	
70. US Treasury Bill 3/16/2017	A	Interest	L	T					
71. Amazon Com Inc	A	Dividend	J	T	Buy	06/26/17	J		
72. Clearbridge Large Cap GRT ETF	A	Dividend	J	T	Buy	06/26/17	J		
73. Lululemon Athletica Inc		None	J	T	Buy	06/22/17	J		
74. Tucows Inc		None	J	T	Buy	06/22/17	J		
75. BOFI Hldg Inc		None	J	T	Buy	06/22/17	J		
76. Ishares Russell Top 200 G ETF	B	Dividend	K	T	Buy	06/21/17	K		
77. The Financial Sel Sect SPDR Fd	A	Dividend	K	T	Buy	01/19/17	K		
78. Metropolitan Trans Auth NY Rev 11/15/2021	A	Interest	L	T	Buy	10/16/17	L		
79. Wappingers Cent Sch Dist NY 12/01/2025	B	Interest	M	T	Buy	07/25/17	M		
80. Vanguard Mega Cap Growth ETF	A	Dividend	J	T	Buy	06/26/17	J		
81. Morgan Stanley	A	Dividend	J	T	Buy	04/20/17	J		
82. Chicago Ill 1/1/2023	B	Interest	L	T	Buy	04/20/17	L		
83. Dunkirk NY 3/15/2031	A	Interest	M	T	Buy	03/31/17	M		
84. Monroe Cnty NY 7/1/2033	B	Interest	M	T	Buy	03/31/17	M		
85. NY ST Urban Dev Corp Rev A 3/15/2034	B	Interest	M	T	Buy	03/31/17	M		

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86. Metropolitan Tran Auth Trans Rev Ref B 11/15/2030	C	Interest	M	T	Buy	01/24/17	M		
87. Triborough Bridge Ref B 11/15/2025	C	Interest	M	T					

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

Original report did not include information on Triborough Bridge Ref B 11/15/2025. It has been added to Line 87.

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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/ **Richard M. Berman**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544