

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Sweet, Robert W.	2. Court or Organization U.S. District Court	3. Date of Report 05/15/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge (Senior status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. District Court 500 Pearl St - Room 1940 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Board of Directors	The Constitution Works
2.	Member, Board of Directors	World Figure Skating Museum
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.)*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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. AT&T	A	Dividend	K	T					
2. Amazon		None	M	T					
3. Apple	A	Dividend	K	T					
4. BP LLC	A	Dividend	J	T					
5. Comcast	A	Dividend	J	T					
6. Disney	B	Dividend	L	T					
7. GE	A	Dividend	K	T					
8. IBM	B	Dividend	K	T					
9. Marathon Pete (d)	A	Dividend	K	T					
10. Pfizer	A	Dividend	K	T					
11. Proctor & Gamble	B	Dividend	L	T					
12. Target	A	Dividend	K	T					
13. 3M Co.	B	Dividend	L	T	Sold (part)	01/23/15	K	D	
14. Federated Capital Reserves (a)	A	Dividend	J	T					
15.									
16. Amazon.com Inc		None	O	T					
17. USTN 1.375% TIP 7/15/18	C	Interest			Sold	04/19/15	N	F	

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 ~\$250,001 - \$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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18. RBC Prime Money Market (a)	A	Dividend	L	T					
19. Estes - Sheridan LP	D	Distribution	J	U					
20. NP Stratham LLC	G	Distribution	J	U					
21. NP Dover LP		None	K	U					
22. NP Nashua LLC	D	Distribution	L	U					
23. NP Hanson LLC	F	Distribution	J	U					
24. NP Portfolio Account LLC	F	Distribution	N	U					
25. NPS2 LLC	E	Distribution	J	U					
26. Execwest LLC		None	M	U					
27. Execusouth LLC		None	J	U					
28.									
29. Trust #1 (lines 29-105) (b)	D	Distribution	P1	T					
30. 3M									
31. Agilent Technologies									
32. Alteria Group					Buy	06/11/15	K		
33. Alteria Group					Buy (add'l)	09/22/15	J		
34. Amer Intl Group									

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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. Amgen									
36. Analog Devices Inc.									
37. Apple Inc									
38. Applied Material									
39. BP LLC					Buy	06/16/15	J		
40. BP LLC					Buy (add'l)	09/22/15	J		
41. Biogen Idec					Sold	01/13/15	K	D	
42. Centene					Buy	06/16/15	J		
43. Centene					Buy (add'l)	12/18/15	K		
44. Centene					Sold (part)	11/05/15	J		
45. Cisco Systems									
46. Comcast									
47. Disney									
48. EMC					Sold	10/29/15	J	B	
49. Exelis Inc. (c)					Distributed	06/01/15			
50. Exxon Mobil Corp					Sold (part)	01/13/15	J	D	
51. GE					Buy	01/13/15	J		

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52. GE					Sold	06/16/15	J	A	
53. Gilead Sciences					Buy	10/30/15	K		
54. Halliburton					Buy	01/13/15	J		
55. Haliburton					Sold	04/17/15	J	B	
56. Harris Corp (c)					Spinoff (from line 49)	06/01/15	J		
57. Harris Corp					Sold	10/29/15	J	A	
58. Humana					Buy	09/22/15	K		
59. Humana					Sold	11/05/15	K		
60. Humana					Buy	12/18/15	K		
61. ITT Industries									
62. International Paper Co									
63. iShares Core S&P 500					Sold	01/13/15	L		
64. iShares Core S&P 500					Buy	11/05/15	M		
65. iShares Core S&P 500					Sold	12/18/15	M		
66. Keysight									
67. Laboratory Co					Buy	01/26/15	K		
68. Las Vegas Sands					Buy	01/13/15	J		

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69. Las Vegas Sands					Sold	06/16/15	J		
70. Lear Corp					Buy	06/16/15	J		
71. Lear Corp					Buy (add'l)	09/22/15	J		
72. Lennar Corp					Buy	09/22/15	J		
73. Lennar Corp					Buy (add'l)	12/18/15	J		
74. Lowes									
75. Marathon Pete					Sold	09/22/15	K	C	
76. Medtronics					Sold	10/29/15	K		
77. Merck					Sold (part)	04/17/15	K	C	
78. Micron					Sold	11/05/15	J		
79. Microsoft									
80. Oracle									
81. Packaging Corp									
82. Pfizer									
83. Phillip Morris									
84. Public Service					Buy (add'l)	02/04/15	J		
85. Public Service					Buy (add'l)	06/16/15	J		

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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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86. Qualcomm					Buy	01/13/15	K		
87. Qualcomm					Sold	09/22/15	K		
88. Suncor					Buy (add'l)	01/13/15	K		
89. Suntrust									
90. TRW Auto					Sold	05/15/15	K	E	
91. The Priceline Group					Buy (add'l)	01/13/15	J		
92. Travelers Co									
93. Union Pacific					Sold	06/16/15	K	B	
94. United Contl Holdings									
95. United Technologies									
96. Unitedhealth Group									
97. Universal Health					Buy (add'l)	06/16/15	J		
98. Vectus					Sold	10/09/15	K	C	
99. Viacom					Buy	09/22/15	J		
100. Viacom					Buy (add'l)	12/18/15	L		
101. WSTN Digital					Sold	11/05/15	J		
102. WSTN Digital					Buy	12/18/15	K		

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103. Wal Mart					Sold	10/09/15	K	A	
104. Xylem					Sold (part)	01/13/15	J	D	
105. CMA Money Fund (a)									
106.									
107. Trust #2 (lines 107 -115) (b)	G	Distribution	P1	T					
108. USTN 1.875% due 7/15/19					Sold	04/21/15	O	F	
109. Apple Inc									
110. Microsoft									
111. North Colorado Springs Land & Improvemnet Co.									
112. Silvercrest Global Fund (formerly MW Global Partners)									
113. Third Point Partners					Buy	09/30/15	P1		
114. 13D Activist-Fd-1					Buy	02/04/15	O		
115. 13D Activist-Fd-1					Sold (part)	12/31/15	M		
116.									
117. Trust #3 (lines 117- 133) (b)		None	P1	T					
118. Fiduciary Trust Int'l Money Market (a)									
119. Berkshire Hathaway									

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120. iShares Comex Gold					Sold	12/22/15	L		
121. SPDR Gold Trust					Sold	01/04/15	L	E	
122. Gotham Absolute Return					Buy (add'l)	12/18/15	J		
123. Gotham Neutral Fund					Buy (add'l)	12/18/15	J		
124. Estes - Sheridan LP									
125. NP Strathan LLC									
126. NP Dover LLC									
127. NP Nashua LLC									
128. NP Hanson LLC									
129. NP Portfolio Account LLC									
130. NPS2 LLC									
131. Execwest LLC									
132. Trans-Lux Series A pfd									
133. Trans-Lux Corp									
134.									
135. Citibank money market account	A	Interest	J	T					
136. Citibank checking account		None	J	T					

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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, 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)
137. JPMorgan Chase checking account		None	J	T					
138.									
139.									
140.									

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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Name of Person Reporting

Sweet, Robert W.

Date of Report

05/15/2016

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

VII. Investments and Trusts

(a) = This is a money market type fund with shares remaining at a constant value of \$1.00. Purchases and sales, with no gain or loss, were made throughout the year.

(b) = Income beneficiary only.

(e) = On 06/01/15, 450 shares Exelis Inc. were exchanged for 46 shares Harris Corp.

(d)- Purchased 09/23/14 for a Value Code K and inadvertently omitted from the 2014 report. There was no income.

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Name of Person Reporting	Date of Report
Sweet, Robert W.	05/15/2016

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/ Robert W. Sweet

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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Washington, D.C. 20544