

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Briccetti, Vincent L.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 05/10/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address United States Courthouse 300 Quarropas Street 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. Director	Fordham Law Alumni Association
2.	
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. 2018	Fordham Law School: 2019 teaching position
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. 2018

Greenwich Anesthesiology Associates, P.C. - Salary

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. Rental property #1, South Salem, NY (1993, \$62,458)	B	Rent	L	R					
2. Chase Bank, various accounts	A	Interest	M	T					
3. TrustCo Bank (X)	A	Interest	J	T					
4. Eaton Vance Floating Rate Advantage (ECFAX)		None			Sold	01/16/18	J		
5. Eaton Vance Massachusetts Muni Income (ETMAX)		None			Sold	01/16/18	J		
6. Fidelity Growth Company Fund (FDGRX)		None			Sold (part)	01/30/18	J	C	
7.					Donated				
8. Fidelity New York Municipal Income Fund (FTFMX)	A	Dividend	K	T	Buy	04/27/18	J		
9. Fidelity Treasury Fund (FZFXX)	A	Dividend	J	T					
10. First Trust Large Cap Core Alphadex (FEX)		None			Sold	01/16/18	J	B	
11. First Trust Mid Cap Core Alphadex (FNX)		None			Sold	01/16/18	J	A	
12. Inventrust Properties Corp (Non-traded REIT)	A	Distribution			Sold	09/21/18	J		
13. iShares S&P National Municipal Bond (MUB)		None			Sold	01/30/18	J		
14. iShares MSCI Emerging Mkts Minimum Volatility Index (EEMV)	A	Dividend			Donated				
15. iShares Trust Core MSCI Total Intl Stk (IXUS)	A	Dividend			Donated				
16. JP Morgan Core Bond (OBOCX)		None			Sold	01/16/18	J		
17. NMIS General NY MM Fund Class B	A	Interest	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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Nuveen NY Amt-Free Quality Municipal Income Fund (NRK)	A	Dividend			Buy	01/30/18	J		
19.					Sold	04/27/18	J		
20. Vanguard High Yield Tax Exempt Admiral (VWALX)	B	Dividend	K	T					
21. Vanguard NY LT Tax-Exempt Fund Investor	A	Dividend	J	T					
22. IRA #5 (Fidelity) (H)									
23. - Bank of America Corp Bond	A	Interest	K	T					
24. DFA International Small Cap Value (DISVX)	B	Dividend	L	T	Buy	07/05/18	L		
25. DFA Targeted Credit Portfolio (DTCPX)	C	Dividend	L	T					
26. - Fidelity Cash Reserves (FDRXX)	A	Dividend	J	T					
27. Fidelity Emerging Markets Index (FPADX)	A	Dividend	J	T	Buy	10/15/18	J		
28. Fidelity Inflation Protected Bond Index (FIPDX)	A	Dividend	L	T	Buy	04/27/18	L		
29.					Buy (add'l)	09/06/18	K		
30. Fidelity Short Term Treasury Bond Index (FUMBX) (Formerly FSBAX)	B	Dividend	M	T	Buy (add'l)	03/21/18	K		
31.					Buy (add'l)	04/27/18	K		
32.					Sold (part)	10/15/18	K		
33. Fidelity Intermediate Treasury Bond Index (FUAMX) (Formerly FIBAX)	B	Dividend	K	T					
34. - Goldman Sachs Group Inc Medium Term Note	B	Interest	K	T					

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35. iShares Micro-Cap (IWC)	A	Dividend	K	T					
36. - iShares MSCI EAFE Small Cap Index (SCZ)	A	Dividend			Sold	07/05/18	L	E	
37. - iShares S&P 500 Index (IVV)	B	Dividend	L	T	Buy (add'l)	07/05/18	J		
38.					Buy (add'l)	09/06/18	K		
39.					Buy (add'l)	10/15/18	J		
40.					Buy (add'l)	12/18/18	J		
41. - Nuveen Build America (NBB) (Formerly NBD)	C	Dividend	L	T	Sold (part)	11/21/18	J		
42. - PIMCO Income Instl (PIMIX)	C	Dividend	L	T	Sold (part)	03/21/18	K		
43. -Powershares Build America Bond (BAB)	A	Dividend			Sold	03/21/18	K		
44. Stone Ridge Reinsurance Risk Premium (SRRIX)	A	Dividend	K	T	Buy (add'l)	03/21/18	K		
45. - Vanguard Emerging Markets (VWO)	B	Dividend	L	T					
46. -Vanguard Short Term Corporate Bond (VCSH)	A	Dividend			Sold	03/21/18	L		
47. IRA #6 (Fidelity) (H)									
48. - Fidelity Cash Reserves (FDRXX)	A	Dividend	J	T					
49. Fidelity Intermediate Treasury Bond Index (FUAMX) (Formerly FIBAX)	B	Dividend	K	T					
50. Fidelity Total Market Index (FSKAX)	A	Dividend	K	T	Buy	11/21/18	K		
51. iShares Core MSCI EAFE ETF (IEFA)	A	Dividend	J	T	Buy	09/06/18	J		

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52. iShares Core MSCI Emerging Markets (IEMG)	A	Dividend	K	T	Buy (add'l)	07/05/18	J		
53.					Buy (add'l)	09/06/18	J		
54. iShares Core MSCI Total International Stock ETF (IXUS)	A	Dividend			Buy	03/21/18	J		
55.					Sold (part)	07/05/18	J		
56.					Donated				
57. iShares S&P Small Cap 600 Citigroup Value Index (IJS)	A	Dividend	J	T					
58. Nuveen Credit Strategies Income Fund (JQC)	A	Dividend	K	T					
59. -Vanguard GNMA Admiral (VFIJX)	A	Dividend			Sold	09/06/18	K		
60. 401(K) #2 (H)									
61. -Vanguard 500 Index (VFINX)	D	Dividend	N	T	Buy (add'l)	01/12/18	J		
62.					Buy (add'l)	01/26/18	J		
63.					Buy (add'l)	02/09/18	J		
64.					Sold (part)	02/22/18	J		
65.					Buy (add'l)	02/23/18	J		
66.					Buy (add'l)	03/09/18	J		
67.					Buy (add'l)	03/12/18	J		
68.					Buy (add'l)	03/23/18	J		

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69.					Buy (add'l)	04/06/18	J		
70.					Buy (add'l)	04/20/18	J		
71.					Buy (add'l)	05/03/18	J		
72.					Buy (add'l)	05/18/18	J		
73.					Buy (add'l)	06/01/18	J		
74.					Buy (add'l)	06/15/18	J		
75.					Buy (add'l)	06/29/18	J		
76.					Buy (add'l)	07/13/18	J		
77.					Buy (add'l)	07/27/18	J		
78.					Buy (add'l)	08/10/18	J		
79.					Buy (add'l)	08/24/18	J		
80.					Sold (part)	09/06/18	K		
81.					Buy (add'l)	09/07/18	J		
82.					Buy (add'l)	09/21/18	J		
83.					Buy (add'l)	10/05/18	J		
84.					Buy (add'l)	10/19/18	J		
85.					Buy (add'l)	11/01/18	J		

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86.					Buy (add'l)	12/31/18	J		
87. - Vanguard Small Capitalization Stock (NAESX)	A	Dividend	K	T	Buy (add'l)	01/12/18	J		
88.					Buy (add'l)	01/26/18	J		
89.					Buy (add'l)	02/09/18	J		
90.					Buy (add'l)	02/23/18	J		
91.					Buy (add'l)	03/09/18	J		
92.					Buy (add'l)	03/12/18	J		
93.					Buy (add'l)	03/23/18	J		
94.					Buy (add'l)	04/06/18	J		
95.					Buy (add'l)	04/20/18	J		
96.					Buy (add'l)	05/03/18	J		
97.					Buy (add'l)	05/18/18	J		
98.					Buy (add'l)	06/01/18	J		
99.					Buy (add'l)	06/15/18	J		
100.					Buy (add'l)	06/29/18	J		
101.					Buy (add'l)	07/13/18	J		
102.					Buy (add'l)	07/27/18	J		

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103.					Buy (add'l)	08/10/18	J		
104.					Buy (add'l)	08/24/18	J		
105.					Buy (add'l)	09/07/18	J		
106.					Buy (add'l)	09/21/18	J		
107.					Buy (add'l)	10/05/18	J		
108.					Buy (add'l)	10/19/18	J		
109.					Buy (add'l)	11/01/18	J		
110.					Buy (add'l)	12/31/18	J		
111. - Vanguard Total Bond Market Index Inv (VBMFX)	D	Dividend	N	T	Buy (add'l)	01/12/18	J		
112.					Buy (add'l)	01/26/18	J		
113.					Buy (add'l)	02/22/18	J		
114.					Buy (add'l)	02/23/18	J		
115.					Buy (add'l)	03/09/18	J		
116.					Buy (add'l)	03/12/18	J		
117.					Buy (add'l)	03/23/18	J		
118.					Buy (add'l)	04/06/18	J		
119.					Buy (add'l)	04/20/18	K		

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05/10/2019

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120.					Buy (add'l)	05/03/18	J		
121.					Buy (add'l)	05/18/18	J		
122.					Buy (add'l)	06/01/18	J		
123.					Buy (add'l)	06/15/18	J		
124.					Buy (add'l)	06/29/18	J		
125.					Buy (add'l)	07/13/18	J		
126.					Buy (add'l)	07/27/18	J		
127.					Buy (add'l)	08/10/18	J		
128.					Buy (add'l)	08/24/18	J		
129.					Buy (add'l)	09/06/18	K		
130.					Buy (add'l)	09/22/18	J		
131.					Buy (add'l)	09/07/18	J		
132.					Buy (add'l)	09/21/18	J		
133.					Buy (add'l)	10/05/18	J		
134.					Buy (add'l)	10/19/18	J		
135.					Buy (add'l)	11/01/18	J		
136.					Buy (add'l)	12/31/18	J		

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

Briccetti, Vincent L.

Date of Report

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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.)

☐

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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)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.									
138. Northwestern Mutual Whole Life Policy	C	Dividend	L	T					
139. Northwestern Paid Up Life Insurance Policy #1	B	Dividend	L	T					
140. Northwestern Paid Up Life Insurance Policy #2	B	Dividend	M	T					
141.									
142. IRA #7 (Fidelity) (H)									
143. Eaton Vance Floating Rate (EIFAX)	A	Dividend			Sold	01/30/18	J	A	
144. Fidelity Intermediate Treasury Bond Index (FUAMX)	A	Dividend	K	T	Buy	01/30/18	K		
145. Fidelity Treasury Fund (FZFXX)	A	Dividend	J	T					
146. Hartford Growth Opportunities (HGOIX)		None			Sold	01/30/18	J	B	
147. iShares Trust Core MSCI EAFE (IEFA)	A	Dividend	J	T	Buy (add'l)	03/15/18	J		
148. iShares Core MSCI Emerging Markets (IEMG)	A	Dividend	J	T					
149. iShares S&P 500 Value (IVE)	A	Dividend	K	T	Buy (add'l)	01/30/18	J		
150. JP Morgan Core Bond (WOBDX)	A	Dividend			Sold	02/26/18	J		
151. PIMCO Income Fund (PONPX)	A	Dividend			Sold	01/30/18	J		
152. Prudential Total Return Bond (PDBZX)	A	Dividend			Sold	01/30/18	J	A	

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

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

On line 3, became co-signatory on this bank account in 2018

On line 12, this REIT was inherited in 2017. It was mistakenly left off of last year's report. It has been included on this year's report, but was sold on 9/21/18 so it will not be on future reports.

On line 30, FSBAX was combined with another similar fund and the ticker was changed to FUMBX

On lines 33 and 49, FIBAX was combined with another similar fund and the ticker was changed to FUAMX

On line 41, NBD was merged with the NBB fund

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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/ Vincent L. Briccetti

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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