

50-10
Rev. 3/93

FINANCIAL DISCLOSURE REPORT

 Report Required by the Ethics
 Reform Act of 1989, Pub. L. No.
 101-194, November 30, 1989
 (5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) SCHEINDLIN, SHIRA ANN	2. Court or Organization UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK	3. Date of Report August 1, 1994
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5. Report Type (check appropriate type) ☒ Nomination, Date <u>07/28/94</u> ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 1/1/93-7/15/94
7. Chambers or Office Address Herzfeld & Rubin P.C. 40 Wall Street New York, New York 10005	8. On the basis of the information contained in this Report, it is, in my opinion, in compliance with applicable laws and regulations _____ Reviewing officer's signature _____	

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

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions)

Director

Justice Resource Center

Director

New York County Lawyers Association

See Attachment 1 for continuation of this response

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☐

NONE (No reportable agreements)

April, 1994

Shira Scheindlin and Herbert Rubin.

Law firm usually pays a bonus for the calendar year at the end of the calendar year or at the beginning of the new calendar year. My 1994 bonus will be paid in that manner, even if I leave prior to the end of 1994.

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

(Honoraria only)

(yours, not spouse's)

☐

NONE (No reportable non-investment income)

1	Herzfeld & Rubin (1992) Legal Services	\$ 302,188
2	Herzfeld & Rubin (1993) Legal Services	\$ 183,855
3	Herzfeld & Rubin (1994) Legal Services	\$ 201,666
4	Budd Lerner (1992) Legal Services	\$ 54,000
5	Brooklyn Law School (1992) Teaching	\$ 7,200

ATTACHMENT 1

 50-10
Rev. 3/93

FINANCIAL DISCLOSURE REPORT

 Report Required by the Ethics
 Reform Act of 1989, Pub. L. No.
 101-194, November 30, 1989
 (5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) SCHINDLIN, SHIRA ANN		2. Court or Organization	3. Date of Report August 1, 1994
4. Title (Article III Judges indicate active or senior status; Magistrate Judges indicate full- or part-time)		5. Report Type (check appropriate type) _____ Election, Date _____ _____ Initial _____ Annual _____ Final _____	6. Reporting Period
7. Chambers or Office Address		8. On the basis of the information contained in this Report, it is, in my opinion, in compliance with applicable laws and regulations _____ Reviewing Officer Signature _____	

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

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions)

Director	Federal Bar Foundation
Partner	Bersfeld & Rubin, P.C.
Partner	J&S Partner

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☐

NONE (No reportable agreements)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE
(Honorary only)

SOURCE AND TYPE

GROSS INCOME
(yours, not spouse's)
☐

NONE (No reportable non-investment income)

1	Brooklyn Law School (1993) Teaching	\$ 900.00
2	State of New York (1993) Teaching	\$ 824.00
3	State University of NY--Health ScienceCenter at Brooklyn	\$ 8
4		\$
5		\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting	Date of Report
SCHINDLIN, SHIRA ANN	August 1, 1994

IV. REIMBURSEMENTS and GIFTS – transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of Instructions.)

SOURCE

DESCRIPTION

☐

NONE (No such reportable reimbursements or gifts)

1	EXEMPT	
2		
3		
4		
5		
6		
7		
8		

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts)

1	EXEMPT	\$
2		\$
3		\$
4		\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parentheticals "(S)" for separate liability of spouse, "(D)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE

☐

NONE (No reportable liabilities)

1	Hamilton Federal S&L	Mortgage (J)	H
2	Citicorp	Mortgage (J)	L
3	Chase Home Mortgage	Mortgage	H
4			
5			
6			
7			

* VALUE CODES: J = \$15,000 or less H = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 K = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
SCHRIMDLIN, SHIRA ANNDate of Report
August 1, 1994

VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. (Description of Assets (including trust assets)) Indicate, where applicable, owner of the asset by using the parenthetical (S) for Spouse, (J) for Joint, (C) for Child, (D) for Dependent, (P) for Partner, (G) for Grandchild, (O) for Other, (N) for None. Place "(S)" after each asset except from prior disclosure.		B. Income during reporting period		C. Gross Value at end of reporting period		D. Transactions during reporting period					
		(1) Int. Code (A-E)	(2) Type (Div., Int., etc.) (J-P)	(1) Value (J-P)	(2) Value Method (Q-U)	If not exempt from disclosure					
						(1) Type Buy, Sell, Mortg., Refinanc., etc. (J-P)	(2) Date Month- Day (J-P)	(3) Value (J-P)	(4) Gain/ Loss (K-S)	(5) Identity of Party/Party (if previous transaction)	
☐ NONE (No reportable income, assets, or transactions)											
124 Pacific St. Bklyn NY J	R	Rent	O	W	EXEMPT						
940 Waters Ave Aspen CO J	R	Rent	M	W							
J&S Partners											
54 Butler St Bklyn NY	R	Rent	M	W							
Teachers Insurance Annuity Association	S	None	M	T							
College Retirement Equities Fund	S	None	M	T							
Supplemental Retirement Annuities	S	None	M	T							
Hersfeld & Rubin Pension Plan		None	K	T							
IRA Dreyfus A-Bond Fund	S	None	K	T							
Grunthal & Co IRA Account #214-24892		None	K	T							
Fidelity Trend Mutual Fund	S	A	Div	J	T						
Vanguard Int'l Mutual Fund	S	None	J	T							
Dreyfus Liquid Asset Money Market Account	S	None	J	T							
Smith Barney Common Value Stock Fund	S	None	J	T							
Marion Merrell Dow Common Stock	S	B	Div	K	T						
Pfizer Common Stock	S	A	Div	K	T						
IBM Common Stock	S	A	Div	J	T						
Con Edison Common Stock	S	A	Div	J	T						
Morgan Stanley Preferred Stock	S	A	Div	J	T						
Oracle Common Stock	S	None	J	T							
Brooklyn Federal S&L 16-10031-0	S	A	Int	J	T						

1 Income/Gain Codes: A-\$1,000 or less B-\$1,001 to \$2,500 C-\$2,501 to 5,000 D-\$5,001 to \$15,000
 (See Col. B1 & B4) E-\$15,001 to \$50,000 F-\$50,001 to \$100,000 G-\$100,001 to \$1,000,000 H-More than \$1,000,000
 2 Value Codes: J-\$15,000 or less K-\$15,001 to \$50,000 L-\$50,001 to \$100,000 M-\$100,001 to \$250,000 N-More than \$250,000
 (See Col. C1 & C2) O-\$250,001 to \$1,000,000 P-\$1,000,001 to \$10,000,000 Q-More than \$10,000,000
 3 Value Method Codes: Q-Appraisal R-Cost (real estate only) S-Assessment T-Cash/Market
 (See Col. C2) U-Book Value V-Other W-Estimated

ATTACHMENT 2

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting SCHINDLIN, SHIRA ANN	Date of Report August 1, 1994
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VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

Description of Assets (including trust assets) Indicate, where applicable, power of attorney, and the name of the attorney-in-fact, or the name of the trustee, if the asset is held in trust. Place "N/A" after each asset except exempt. List prior disclosures.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
	(1) Net (1-4)	(2) Type (1-3) Int. %	(1) Value (1-3)	(2) Value (1-3)	(3) Type (1-3) Buy	If not exempt from disclosure				
						(4) Value (1-3)	(5) Value (1-3)	(6) Value (1-3)	(7) Value (1-3)	
☐ NONE (No reportable income, assets, or transactions)										
1 Brooklyn Federal S&L 01-0000-89-1	S	A	Int	J	T	EXEMPT				
2 Chase Manhattan Bank 043-426352, Brooklyn, NY	J	A	Int	J	T					
3 Chase Manhattan Bank 043-1-139696, Bklyn, NY	J	A	Int	J	T					
4 Chase Manhattan Bank 043-1-149780, Bklyn, NY	J	A	Int	J	T					
5 Chase Manhattan Bank 043-1-181262, Bklyn, NY	J	A	Int	J	T					
6 Triborough Bridge & Tunnel Authority Bond	J	A	Int	None						
7 Chase Manhattan Bank 043-405190, Bklyn, NY	B	Int	J	T						
8 Chase Manhattan Bank 043-1-131143, Bklyn, NY	A	Int	J	T						
9 Albany County Shopping Mall Bond	A	Int	F	T						
10 NYS Local Gov't Bond Ser E	B	Int	B	T						
11 Nassau Cty Ser H Bond	A	Int	K	T						
12 NYS Local Gov't Ser D Bond	A	Int	J	T						
13 NYS Med Care Agcy Bond	B	Int	K	T						
14 MAC Ser 57 Bond	A	Int	J	T						
15 MAC Ser 57 OID Bond	B	Int	K	T						
16 NYS Dormitory Bond	B	Int	K	T						
17 NYS Med Care Bond	A	Int	J	T						
18 NY City GO Ser A Bond	D	Int	K	T						
19 Triboro Bridge & Tunnel Bond	A	Int	K	T						
20 NYS HFA Bond	A	Int	None							

1 Income/Sale Codes:	1-\$1,000 or less (See Chd. B1 & B2)	2-\$1,001 to \$25,000 3-\$25,001 to \$50,000 4-\$50,001 to \$100,000 5-\$100,001 to \$250,000 6-\$250,001 to \$500,000 7-\$500,001 to \$1,000,000 8-\$1,000,001 to \$5,000,000 9-More than \$5,000,000	10-Appraisal 11-Book Value	12-Other
2 Value Codes:	1-\$1,000 or less (See Chd. C1 & C2)	2-\$1,001 to \$25,000 3-\$25,001 to \$50,000 4-\$50,001 to \$100,000 5-\$100,001 to \$250,000 6-\$250,001 to \$500,000 7-\$500,001 to \$1,000,000 8-\$1,000,001 to \$5,000,000 9-More than \$5,000,000	10-Appraisal 11-Book Value	12-Other
3 Value Method Codes:	1-Appraisal (See Chd. C2)	2-Other	3-Other	4-Other

(SEE ATTACHMENT 2a FOR CONTINUATION OF THIS RESPONSE.)

Name of Person Reporting
SCHINDLIN, SHIRA ANN

August 1, 199

B. Description of Assets (including trust assets)		C. Income during reporting period		D. Gross Value at end of reporting period		E. Transactions during reporting period						
Indicate, where applicable, any of the following: (a) the person(s) for whom the assets are held; (b) the individual(s) to whom the assets are attributable; (c) the person(s) for whom the assets are attributable by operation of law.		(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)	(6)	(7)
Place "X" after each asset exempt from prior disclosure.		Net: (1-2)	Net: (1-2)	Value: (3-2)	Value: (3-2)	Net: (1-2)	Net: (1-2)	Value: (3-2)	Value: (3-2)	Value: (3-2)	Value: (3-2)	Value: (3-2)
☐ NONE (No reportable income, assets, or transactions)												
1	NY City GO Ser A Bond	A	Int	None								
2	Countrywide Mtge Common Stock	A	Div	None								
3	Embrex Inc. Common Stock		None	J	T							
4	First Pacific Networks Common Stock		None	None								
5	Sciclone Pharmaceutical Common Stock		None	J	T							
6	ICM Pharmaceutical Common Stock		None	None								
7	Chris Craft Ind Common Stock	A	Div	K	T							
8	Continental Savings of America Common Stock		None	J	T							
9	Cray Computer Common Stock		None	J	T							
10	First Pacific Networks Common Stock		None	J	T							
11	Micromics Computer Common Stock		None	J	T							
12	Nicholas Applegate Mutual Fund	A	Div	J	T							
13	NY Tax Exempt Income Fund Bond Fund	A	Int	J	T							
14	Raymond NY Investment Bond Fund	A	Int	J	T							
15	Templeton Emerging Mutual Fund	A	Div	J	T							
16	IRA Tiger Ser 1B Bond		None	J	T							
17	IRA CATS Ser J Bond		None	J	T							
18	IRA CATS Ser T Bond		None	J	T							
19	IRA US Treasury Strip Bond		None	J	T							
20	IRA US Treasury Strip Bond		None	J	T							

1 Income/Gain Codes: A-\$1,000 or less B-\$1,001 to \$2,500 C-\$2,501 to 5,000 D-\$5,001 to \$15,000 E-more than \$15,000
 (See Col. 21 & 22) F-\$15,001 to \$50,000 G-\$50,001 to \$100,000 H-\$100,001 to \$250,000 I-more than \$250,000
 (See Col. 21 & 22) J-\$250,001 to \$500,000 K-\$500,001 to \$1,000,000 L-more than \$1,000,000
 2 Value Method Codes: A-Appraisal B-Book Value C-Cost (real estate only) D-Other
 (See Col. 23) E-Estimated F-Market

(SEE ATTACHMENT 2b FOR CONTINUATION OF THIS RESPONSE.)

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
SCHINDLIN, SHYRA ANN

Date of Report
August 1, 1994

VII. INVESTMENTS and TRUSTS – income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (including trust assets)		B. Income during reporting period	C. Gross Value at end of reporting period		D. Transactions during reporting period						
		(1) Divi- dends, interest, royalties, etc.	(2) Other income	(3) Value beginning of period (A-B)	(4) Value ending of period (C-B)	If not exempt from disclosure					
						(1) Type (see In- structions)	(2) Date Month Day	(3) Value beginning of period (J-9)	(4) Value ending of period (A-B)	(5) Identifying information (if required)	(6) Type of transaction
☐ NONE (No reportable income, assets, or transactions)											
1	IRA US Treasury Strip Bond	None	J	T							
2	IRA Global Privatization Fund Common Stock	None	J	T							
3	IRA Micronics Computers Common Stock	None	J	T							
4	IRA SPI Pharmaceutical Common Stock	None	J	T							
5	IRA Countrywide Mortgage Common Stock	None	J	T							
6	IRA IVAX Pharmaceutical Common Stock	None	None								
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
18											
19											
20											
1	Income/Gain Codes: (See Col. B1 & B4)	A-\$1,000 or less B-\$11,001 to \$50,000 C-\$51,001 to \$100,000 D-\$101,001 to \$500,000 E-\$500,001 to \$1,000,000 F-more than \$1,000,000	A-\$1,001 to \$2,500 B-\$2,501 to \$5,000 C-\$5,001 to \$10,000 D-\$10,001 to \$25,000 E-\$25,001 to \$50,000 F-more than \$50,000	A-\$2,501 to \$5,000 B-\$5,001 to \$10,000 C-\$10,001 to \$25,000 D-\$25,001 to \$50,000 E-\$50,001 to \$100,000 F-more than \$100,000	A-\$100,001 to \$250,000 B-\$250,001 to \$500,000 C-\$500,001 to \$1,000,000 D-\$1,000,001 to \$2,500,000 E-\$2,500,001 to \$5,000,000 F-more than \$5,000,000	A-\$5,001 to \$10,000 B-\$10,001 to \$25,000 C-\$25,001 to \$50,000 D-\$50,001 to \$100,000 E-\$100,001 to \$250,000 F-more than \$250,000	A-\$100,001 to \$250,000 B-\$250,001 to \$500,000 C-\$500,001 to \$1,000,000 D-\$1,000,001 to \$2,500,000 E-\$2,500,001 to \$5,000,000 F-more than \$5,000,000	A-\$250,001 to \$500,000 B-\$500,001 to \$1,000,000 C-\$1,000,001 to \$2,500,000 D-\$2,500,001 to \$5,000,000 E-\$5,000,001 to \$10,000,000 F-more than \$10,000,000	A-\$500,001 to \$1,000,000 B-\$1,000,001 to \$2,500,000 C-\$2,500,001 to \$5,000,000 D-\$5,000,001 to \$10,000,000 E-\$10,000,001 to \$25,000,000 F-more than \$25,000,000	A-\$10,001 to \$25,000 B-\$25,001 to \$50,000 C-\$50,001 to \$100,000 D-\$100,001 to \$250,000 E-\$250,001 to \$500,000 F-more than \$500,000	A-\$25,001 to \$50,000 B-\$50,001 to \$100,000 C-\$100,001 to \$250,000 D-\$250,001 to \$500,000 E-\$500,001 to \$1,000,000 F-more than \$1,000,000
2	Value Codes: (See Col. C1 & C2)	A-\$1,000 or less B-\$11,001 to \$50,000 C-\$51,001 to \$100,000 D-\$101,001 to \$500,000 E-\$500,001 to \$1,000,000 F-more than \$1,000,000	A-\$1,001 to \$2,500 B-\$2,501 to \$5,000 C-\$5,001 to \$10,000 D-\$10,001 to \$25,000 E-\$25,001 to \$50,000 F-more than \$50,000	A-\$2,501 to \$5,000 B-\$5,001 to \$10,000 C-\$10,001 to \$25,000 D-\$25,001 to \$50,000 E-\$50,001 to \$100,000 F-more than \$100,000	A-\$100,001 to \$250,000 B-\$250,001 to \$500,000 C-\$500,001 to \$1,000,000 D-\$1,000,001 to \$2,500,000 E-\$2,500,001 to \$5,000,000 F-more than \$5,000,000	A-\$5,001 to \$10,000 B-\$10,001 to \$25,000 C-\$25,001 to \$50,000 D-\$50,001 to \$100,000 E-\$100,001 to \$250,000 F-more than \$250,000	A-\$100,001 to \$250,000 B-\$250,001 to \$500,000 C-\$500,001 to \$1,000,000 D-\$1,000,001 to \$2,500,000 E-\$2,500,001 to \$5,000,000 F-more than \$5,000,000	A-\$250,001 to \$500,000 B-\$500,001 to \$1,000,000 C-\$1,000,001 to \$2,500,000 D-\$2,500,001 to \$5,000,000 E-\$5,000,001 to \$10,000,000 F-more than \$10,000,000	A-\$500,001 to \$1,000,000 B-\$1,000,001 to \$2,500,000 C-\$2,500,001 to \$5,000,000 D-\$5,000,001 to \$10,000,000 E-\$10,000,001 to \$25,000,000 F-more than \$25,000,000	A-\$10,001 to \$25,000 B-\$25,001 to \$50,000 C-\$50,001 to \$100,000 D-\$100,00	

Date of Report
August 1, 1994

[illegible]

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

Date June 1, 1994

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

AS OF MAY, 1994

ASSETS		LIABILITIES	
Cash on hand and in banks *Schedule A*	84,437.75	Notes payable to banks-secured	NONE
U.S. Government securities-add schedule	NONE	Notes payable to banks-unsecured	NONE
Listed securities-add schedule *Schedule B*	415,905.00	Notes payable to relatives	NONE
Unlisted securities-add schedule	NONE	Notes payable to others	NONE
Accounts and notes receivable:	NONE	Accounts and bills due	NONE
Due from relatives and friends		Unpaid income tax	NONE
Due from others		Other unpaid tax and interest	NONE
Doubtful		Real estate mortgages payable-add schedule *Schedule E*	534,281.37
Real estate owned-add schedule *Schedule C*	1,390,000.00	Chattel mortgages and other liens payable	NONE
Real estate mortgages receivable	NONE	Other debts-itemize:	NONE
Autos and other personal property	5,000		
Cash value-life insurance	NONE		
Other assets-itemize:			
Furniture/personal assets	45,000		
Retirement Plans *Schedule D*	870,547.78		
		Total Liabilities	534,281.37
		Net Worth	2,276,609.16
Total Assets	\$2,810,890.53	Total Liabilities and net worth	2,810,890.53
CONTINGENT LIABILITIES		GENERAL INFORMATION	
As endorser, cosigner or guarantor	NONE	Are any assets pledged? (Add schedule.)	NO
On leases or contracts	NONE	Are you defendant in any suits or legal actions?	NO
Legal Claims	NONE	Have you ever taken bankruptcy?	NO
Provision for Federal Income Tax	NONE		
Other special debt	NONE		