

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 1998

Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C. App. 4, 101-112)

1. Person Reporting (Last name, first, middle initial) Lynch, Gerard E.	2. Court or Organization United States District Court Southern District of New York	3. Date of Report 3/1/2000
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - nominee	5. ReportType (check appropriate type) ☒ Nomination, Date 2/28/00 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 1/1/99 - 2/1/00
7. Chambers or Office Address Columbia University School of Law 435 West 116th Street New York, NY 10027	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 Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
☐ NONE (No reportable positions.)	
1 Paul J. Kellner Professor of Law,	Columbia University
2 Counsel,	Covington & Burling
3 Reporter, Sentencing Project,	American Law Institute

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1 I hope to arrange to continue teaching at Columbia University, though at present	
2 I have no definite agreement.	
3	

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 1/1/98-2/1/00	Columbia University	\$ 311,090
2 1/1/98-2/1/00	Covington & Burling (formerly Howard, Smith & Levin)	\$ 381,215
3 7/1/99-1/1/00	American Law Institute	\$ 15,000
4 10/1/99-1/15/00	Office of Independent Counsel	\$ 11,700
5 1/1/98-2/1/00	Flushing Hospital (S)	\$ _____

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Gerard E. Lynch	3/1/2000

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

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements received by spouse and dependent children, respectively. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1	exempt	
2		
3		
4		
5		
6		
7		

V. GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate gifts received by spouse and dependent children, respectively. See pp. 29-32 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 parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

*Value Codes:	J=\$15,000 or less	K=\$15,001-\$50,000	L=\$50,001-\$100,000	M=\$100,001-\$250,000	N=\$250,001-\$500,000
	O=\$500,001-\$1,000,000	PI=\$1,000,001-\$5,000,000		P2=\$5,000,001-\$25,000,000	
	P3=\$25,000,001-\$50,000,000	P4=\$50,000,001 or more			

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A Description of Assets (including trust assets) <i>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(A)" after each asset exempt from prior disclosure.</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g. div, rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Oppenheimer Main St Gr & Inc. A (J)	B	DIV	K	T	EXEMPT				
2 Pilgrim Bank & Thrift Fund A (J)	B	DIV	J	T	EXEMPT				
3 Oppenheimer Convertible Securities Cl B (J)	B	DIV	K	T	EXEMPT				
4 Putnam Health Services Trust Cl B (J)	none		J	T	EXEMPT				
5 Putnam Intl Growth Fund Cl B (J)	A	DIV	K	T	EXEMPT				
6 Seligman Large Cap Value Fd Cl B (J)	none		K	T	EXEMPT				
7 Stern Roe Adv. Growth Stock Fd Cl B (J)	none		K	T	EXEMPT				
8 AIM Tax Free Intermediate Shares (J)	A	DIV	J	T	EXEMPT				
9 Alliance Municipal Income Fund NY Port. Cl B (J)	C	DIV	L	T	EXEMPT				
10 Rochester Municipals Fd Cl A (J)	B	DIV	K	T	EXEMPT				
11 Investment Company of America (DC)	B	DIV	K	T	EXEMPT				
12 Rochester Municipals Fd Cl A (DC)	C	DIV	L	T	EXEMPT				
13 FT Communications Gr Tr Ser 2 (J)	A	DIV	J	T	EXEMPT				
14 FT Business Svcs Growth Ser 2 (J)	none		J	T	EXEMPT				
15 FT Financial Svcs Growth Ser 5 (J)	A	DIV	J	T	EXEMPT				
16 FT Pharmaceutical Growth Ser 5 (J)	A	DIV	J	T	EXEMPT				
17 Nuveen DJ Pharm Mar 1999 UTS (J)	A	DIV	J	T	EXEMPT				
18 Nuveen E Commerce Jan 1999 UTS (J)	none		K	T	EXEMPT				
1 Income/Gain Codes (See Col. B1, 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 Col. C1, D3)	J-\$15,000 or less N-\$250,001-\$500,000 P3-\$75,000,001-\$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 Col. C2)	Q-Appraisal U-Book value	R-Cost (real estate only) V-Other	S-Assessment W-Estimated	T-Cash/Market					

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 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				
Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. Place "(X)" after each asset exempt from prior disclosure	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g. div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Nuveen Tax Free Unit TR INSD (J)	B	INT	K	T	EXEMPT				
2 VKAC Internet TR Ser 10 UTS (J)	A	DIV	K	T	EXEMPT				
3 TIAA-CREF	none		N	T	EXEMPT				
4 Citibank Balanced Portfolio Fd Cl A (IRA)	B	DIV	none	T	EXEMPT				
5 Merrill Lynch IRA Money market (S)	B	DIV	K	T	EXEMPT				
6 Citibank IRA money market	none		K	T	EXEMPT				
7 Treasury Zero-coupon bonds (DC)	C	INT (OID)	K	T	EXEMPT				
8 Compaq Computer Corp. (J)	A	DIV	none	T	EXEMPT				
9 First Trust REIT Value Ser 1 UTS (J)	none		none	T	EXEMPT				
10 FT DIJA Target 5 TR April 1998 (J)	B	CAP GAIN	none	T	EXEMPT				
11 Integrated Device Tech (J)	C	CAP GAIN	none	T	EXEMPT				
12 Microtest Inc. (J)	none		none	T	EXEMPT				
13 Read-Rite Corp. (J)	none		none	T	EXEMPT				
14 Silicon Graphics (J)	none		none	T	EXEMPT				
15 3 Com Corp. (J)	C	CAP GAIN	none	T	EXEMPT				
16 Merrill Lynch Intl. Equity Fd. Cl D (J)	none		none	T	EXEMPT				
17 Merrill Lynch Global Alloc. Fd D (J)	none		none	T	EXEMPT				
18 AIM Aggressive Gr Fd Cl A (J)	A	CAP GAIN	none	T	EXEMPT				
1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, D3) 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 M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000									
3 Value Method Codes: Q=Appraisal (See Col. C2) U=Book value R=Cost (real estate only) V=Other S=Assessment W=Estimated T=Cash/Market									

SENATE JUDICIARY COMMITTEE
Part II, Question 5
Statement of Net Worth

[This statement consolidates accounts held by me and my wife, as well as custodial accounts held by me as custodian for my son under the Uniform Gifts to Minors Acts]

ASSETS

Cash on hand and in banks (see Schedule A)	\$ 315,271
US Government Securities (see Schedule B)	25,000
Listed Securities (see Schedule C)	679,135
Accounts and Notes Receivable	None
Real Estate Owned	None
Real Estate Mortgages Receivable	None
Autos and other personal property	
One 1989 Saab	5,000
Cash Value Life Insurance	None
Other Assets:	
Retirement Accounts:	
TIAA-CREF	317,116
Citibank IRA (cash)	20,959
Merrill Lynch IRA (cash) (S)	21,944
Total Assets:	\$1,384,425

LIABILITIES

Notes payable to banks – secured	None
Notes payable to banks – unsecured	None
Notes payable to relatives	None
Notes payable to others	None
Accounts and bills due	None
Unpaid income tax	None
Other unpaid tax and interest	None
Real estate mortgages payable	None
Chattel mortgages and other liens payable	None
Other debts	None
Total liabilities:	None
Net worth	\$1,384,425