

AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

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) Broderick, Vernon S.	2. Court or Organization District Court, Southern District of New York	3. Date of Report 04/15/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court, Southern District of New York	5a. Report Type (check appropriate type) ☒ Nomination Date 04/15/2013 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2012 to 03/21/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address Weil, Gotshal & Manges LLP 767 Fifth Avenue New York, New York 10153		
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.	Partner	Weil, Gotshal & Manges LLP
2.	Member Board of Directors	LatinoJustice PRLDEF
3.	Member Board of Directors	Justice Resource Center
4.	Commissioner	Commission To Combat Police Corruption
5.	Member Board of Directors	Fund For Modern Courts
6.	Members Board of Directors	City Bar Fund

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. 1/1/13	Weil, Gotshal & Manges LLP Partnership Agreement -- capital distributions upon leaving partnership
2. 1/1/13	Weil, Gotshal & Manges LLP Partnership Agreement -- pension plan provisions
3.	

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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	WGM Partnership distributions (taxable income)	\$928,070.00
2. 2012	WGM Partnership distributions (approximate taxable income)	\$928,070.00
3. 2013	WGM Partnership distributions (approximate taxable income)	\$246,856.00
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Exempt				
2.				
3.				
4.				
5.				

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.	Exempt		
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.			

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 I (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 I (A-H)	Identity of buyer/seller (if private transaction)
1. Citibank Cash Accounts		None	N	T	Exempt				
2. American Funds New Perspective Fund	B	Dividend	K	T					
3. American Funds Investment Company of America	A	Dividend	K	T					
4. Dodge & Cox Stock Fund	A	Dividend	K	T					
5. First Pacific Capital Fund	B	Dividend	K	T					
6. PIMCO Total Return Fund	C	Dividend	K	T					
7. RS Money Market Fund	A	Dividend	J	T					
8. SEI Institutional Managed Trust Core Fixed Income Fund	D	Dividend	N	T					
9. SEI International Managed Trust High Yield Bond Fund	C	Dividend	L	T					
10. SEI International Fixed Income Fund	C	Dividend	L	T					
11. SEI International Trust Emerging Markets Debt Fund	D	Dividend	L	T					
12. SEI Tax Exempt Trust Tax Free Portfolio	A	Dividend	L	T					
13. T. Rowe Personal Strategy Income Fund	B	Dividend	L	T					
14. T. Rowe Personal Strategy Balanced Fund	A	Dividend	K	T					
15. Vanguard Institutional Index Fund	A	Dividend	K	T					
16. Vanguard Money Market Fund	A	Dividend	L	T					
17. Wasatch Small Cap Growth Fund	B	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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)
18. Guardian Whole Life	C	Dividend	M	T					
19. Northwestern Mutual Whole Life	B	Dividend	L	T					
20. Northwestern Mutual Variable Life - Select Bond	A	Dividend	J	T					
21. Northwestern Mutual Variable Life - International Equity	A	Dividend	J	T					
22. Northwestern Mutual Variable Life - Index 500 Stock	A	Dividend	K	T					
23. Northwestern Mutual Variable Life - Mid Cap Growth Stock	A	Dividend	J	T					
24. SMA Universal (fixed rate) Life Insurance	A	Dividend	K	T					
25. NY 529 - Aggressive Growth Portfolio	A	Dividend	J	T					
26. NY 529 - Bond Market Index Portfolio	A	Dividend	J	T					
27. NY 529 - Conservative Growth Portfolio	A	Dividend	J	T					
28. NY 529 - Growth Portfolio	A	Dividend	J	T					
29. NY 529 - Growth Stock Index Portfolio	A	Dividend	J	T					
30. NY 529 - Income Portfolio	A	Dividend	J	T					
31. NY 529 - Inflation-Protected Securities Portfolio	A	Dividend	J	T					
32. NY 529 - Interest Accumulation Portfolio	A	Dividend	J	T					
33. NY 529 - Moderate Growth Portfolio	A	Dividend	J	T					
34. NY 529 - Value Stock Index Portfolio	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)
3. Value Method Codes
(See Column C2)
- A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value
- B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other
- C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated
- D = \$5,001 - \$15,000
I12 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market
- E = \$15,001 - \$50,000

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

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/ Vernon S. Broderick**

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

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.

ASSETS				LIABILITIES			
Cash on hand and in banks		245	996	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule	1	065	548	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others		93	860	Other unpaid income and interest			
Doubtful				Real estate mortgages payable – see schedule	1	103	387
Real estate owned – see schedule	1	712	500	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		20	000				
Cash value-life insurance		386	338				
Other assets itemize:							
Weil, Gotshal & Manges capital accounts		486	561				
Weil, Gotshal & Manges pension plans		285	937				
Thrift Savings Plan		235	428	Total liabilities	1	103	387
				Net Worth	3	428	781
Total Assets	4	532	168	Total liabilities and net worth	4	532	168
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax		100	000				
Other special debt							