

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                     |                                                                                                                                                                                                                                        |                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Berman, Richard M.                                                                                             | <b>2. Court or Organization</b><br><br>U.S. District Court - S.D.N.Y.                                                                                                                                                                  | <b>3. Date of Report</b><br><br>08/11/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge, Senior Status                      | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                     | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>U.S. District Court<br>500 Pearl Street<br>New York, NY 10007                                                                           |                                                                                                                                                                                                                                        |                                                                  |
| <b>IMPORTANT NOTES:</b> 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions )

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M.

Date of Report

08/11/2020

## 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><br><small>(yours, not spouse's)</small> |
|-------------|------------------------|-------------------------------------------------------|
| 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.)

| <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.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Berman, Richard M.       | 08/11/2020     |

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 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.)

| CREDITOR | DESCRIPTION | VALUE CODE |
|----------|-------------|------------|
| 1.       |             |            |
| 2.       |             |            |
| 3.       |             |            |
| 4.       |             |            |
| 5.       |             |            |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M.

Date of Report

08/11/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Apple Inc                                                                                                               | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Liberty Media Corp Liberty Cap Cl A                                                                                     | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. LM CBA Equity Income Builder Fund CL A                                                                                  | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Morgan Stanley Money Market Fund                                                                                        | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. US Treasury Inflation Index NTS CPI Non Seasonally                                                                      | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. SPDR S&P 500 ETF Trust                                                                                                  | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Liberty Media Corp Liberty Cap com Ser A                                                                                |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. SPDR Gold Trust                                                                                                         |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Vanguard Total Stock Index                                                                                              | D                                      | Distribution                                  | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Ishares Russell 2000 Index Fund                                                                                        | B                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. UTS SPDR Trust Ser 1                                                                                                   | C                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. TSASC Inc NY TOB Settlement Asset                                                                                      | C                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. New York ST Urban Dev Corp Rev Personal Income Tax                                                                     | B                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. T-C Infl Lnkd Bond Rtmt                                                                                                | A                                      | Distribution                                  | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. T-C Lifecycle 2020 Rtmt                                                                                                |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. T-C Lifecycle Rtmt Inc Rtmt                                                                                            | A                                      | Distribution                                  | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Property Indian River County, FL                                                                                       | E                                      | Rent                                          | L                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. SPDR Gold Trust                                                                                                        |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. Ishares TR Dow Jones US                                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Union Pacific corp                                                                                                     | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. Rydex ETR TR Index Fund                                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. New York State Dorm Auth Pers Inc Tax<br>Rev 2/15/2022                                                                 | B                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. Spartan Total Market Index                                                                                             | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. Spartan Small Cap Index                                                                                                | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. Costco Wholesale Crp                                                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. Goldman Sachs Group Inc                                                                                                | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. Liberty Media Corporation.com                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. Liberty Media Corp Ser A                                                                                               |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. United States Treasury Bill                                                                                            | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. Liberty Spinco Inc Cl A                                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Invisa Inc                                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. Stratasys LTD                                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. Vanguard S&P 500 ETF                                                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  | J                        |                         |                                                            |
| 34. Liberty NY Dev Corp 10/1/2037                                                                                          | D                                      | Interest                               | M                                              | 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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M.

Date of Report

08/11/2020

## 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.)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Vanguard TTL Stk Mkt ETF                                                                                               | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. US Treasury Bill 3/16/2017                                                                                             | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. Amazon Com Inc                                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. Dunkirk NY 3/15/2031                                                                                                   | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. United States Treasury Bill 7/5/18                                                                                     | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. European Monetary Unit Savings Dep                                                                                     | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. Time Warner Inc                                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. US Treasury Bill Matures 10/11/18                                                                                      | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. US Treasury Bill Matures 11/15/18                                                                                      | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. US Treasury Bill Matures 3/28/19                                                                                       | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. US Treasury Bill Matures 1/17/19                                                                                       | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. US Treasury Bill Matures 4/11/19                                                                                       | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. US Treasury Bill 7/5/18                                                                                                | A                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. Yonkers NY Serial Genl Oblig Ser A 9/1/24                                                                              | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. Discovery Inc Ser A                                                                                                    | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. US Treasury Bill 10/11/18                                                                                              | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. US Treasury Bill 1/17/19                                                                                               | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. US Treasury Bill 4/11/19                                                                                               | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 53. Utility Debt Secur Auth 12/15/25                                                                                       | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 54. Suffolk Cnty 10/15/22                                                                                                  | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 55. NYS Dorm Auth School 10/1/25                                                                                           | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 56. Bridgehampton NY UFSD 3/15/24                                                                                          | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 57. Bay Shore NY UFSD 1/15/24                                                                                              | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 58. Suffolk Cnty NY Reg A 2/1/25                                                                                           | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 59. Sales Tax Asset 10/15/26                                                                                               | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 60. NYS Urban Develop 3/15/26                                                                                              | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 61. Nassau Cnty Genl Oblig Reg A 1/1/28                                                                                    | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 62. Battery Park Auth Rev A 11/1/28                                                                                        | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 63. Yonkers NY 9/1/24                                                                                                      | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 64. Triborough Bridge Tunnel ref B 11/15/24                                                                                | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 65. Rensselaer Cnty 8/1/27                                                                                                 | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 66. US Treasury Bill 3/28/19                                                                                               | A                                      | Interest                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 67. AT&T Inc                                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 68.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M.

Date of Report

08/11/2020

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Berman, Richard M.

Date of Report

08/11/2020

## 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/ **Richard M. Berman**

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