

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) Briccetti, Vincent L.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 04/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States Courthouse 300 Quarropas Street White Plains, NY 10601		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	Fordham Law Alumni Association
2. Adjunct Professor of Law	Fordham Law School
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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Name of Person Reporting

Briccetti, Vincent L.

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

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	Fordham Law School teaching salary	\$5,000.00
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
Briccetti, Vincent L.	04/30/2021

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.		

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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)
1. Rental property #1, South Salem, NY (1993, \$62,458)	E	Rent	L	R					
2. Chase Bank, various accounts	A	Interest	L	T					
3. Fidelity New York Municipal Income Fund (FTFMX)	A	Dividend	K	T					
4. Fidelity Treasury Fund (FZFXX)	A	Dividend	K	T					
5. NMIS General NY MM Fund Class B	A	Interest	J	T					
6. Vanguard High Yield Tax Exempt Admiral (VWALX)	B	Dividend	K	T					
7. Vanguard NY LT Tax-Exempt Fund Investor	A	Dividend	J	T					
8. IRA #5 (Fidelity) (H)									
9. - Bank of America Corp Bond	A	Interest	K	T					
10. DFA International Small Cap Value (DISVX)	B	Dividend	L	T					
11. - Fidelity Cash Reserves (FDRXX)	A	Dividend			Closed	04/13/20	L		
12. Fidelity Treasury Money Market Fund (FZFXX)	A	Dividend	K	T	Open	04/13/20	L		
13. Fidelity Inflation Protected Bond Index (FIPDX)	A	Dividend	M	T					
14. Fidelity Short Term Treasury Bond Index (FUMBX)	A	Dividend			Sold (part)	01/23/20	K		
15.					Sold (part)	05/18/20	K		
16.					Sold (part)	06/11/20	K		
17.					Sold	07/01/20	L		

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

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - Goldman Sachs Group Inc Medium Term Note	B	Interest	K	T					
19. Invesco Taxable Municipal Bond Fund (BAB)	C	Dividend	M	T	Buy	01/23/20	L		
20.					Buy (add'l)	04/21/20	K		
21. Stone Ridge US Hedged Equity Fund (VRLIX)	A	Dividend	K	T	Buy	07/30/20	K		
22. iShares MBS ETF (MBB)	B	Dividend	M	T	Buy (add'l)	04/21/20	K		
23.					Buy (add'l)	05/18/20	K		
24. iShares Micro-Cap (IWC)	A	Dividend	K	T					
25. - iShares S&P 500 Index (IVV)	C	Dividend	M	T	Sold (part)	07/30/20	K		
26. - PIMCO Income Instl (PIMIX)	C	Dividend	M	T					
27. Stone Ridge Reinsurance Risk Premium (SRRIX)	A	Dividend	J	T	Sold (part)	02/28/20	K		
28.					Sold (part)	05/29/20	J		
29. - Vanguard Emerging Markets (VWO)	B	Dividend	L	T					
30. IRA #6 (Fidelity) (H)									
31. Aberdeen Asia-Pacific Income Fund (FAX)	A	Dividend	J	T	Buy	10/06/20	J		
32. DoubleLine Total Return Bond Fund (DBLTX)	A	Dividend	L	T	Buy	10/06/20	M		
33. Fidelity Treasury Money Market Fund	A	Dividend	L	T	Open	04/13/20	M		
34. - Fidelity Cash Reserves (FDRXX)	A	Dividend			Closed	04/13/20	M		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35. Fidelity Floating Rate High Income (FIQSX)	B	Dividend			Sold (part)	06/11/20	K		
36.					Sold (part)	07/30/20	K		
37.					Sold (part)	09/02/20	K		
38.					Sold	10/06/20	K		
39. Fidelity Total Market Index (FSKAX)	B	Dividend	M	T	Buy (add'l)	03/23/20	J		
40. Invesco Taxable Municipal Bond ETF (BAB)	A	Dividend	K	T	Buy	09/02/20	K		
41. Invesco Variable Rate Investment Grade (VRIG)	B	Dividend			Sold	10/06/20	M		
42. iShares 0-5 Year Investment Grade Corporate Bond (SLQD)	A	Dividend			Sold (part)	03/23/20	K		
43.					Sold	04/21/20	K		
44. iShares MBS ETF (MBB)	A	Dividend	K	T	Buy	09/02/20	K		
45.					Buy (add'l)	10/06/20	K		
46. iShares Core MSCI EAFE ETF (IEFA)	A	Dividend	K	T	Buy (add'l)	03/03/20	J		
47.					Buy (add'l)	03/11/20	J		
48.					Sold (part)	12/07/20	J		
49. iShares Core MSCI Emerging Markets (IEMG)	A	Dividend	K	T	Buy (add'l)	03/11/20	J		
50.					Sold (part)	12/07/20	J		
51. iShares Core S&P 500 (IVV)	B	Dividend	L	T	Sold (part)	12/07/20	J		

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52. iShares Core S&P US Value (IUSV)	B	Dividend	K	T					
53. iShares Core S&P Small-Cap (IJR)	A	Dividend	K	T					
54. JPMorgan Ultra-Short Income ETF (JPST)	B	Dividend	K	T	Sold (part)	03/13/20	L		
55. Nuveen Credit Strategies Income Fund (JQC)	B	Dividend	K	T	Buy	07/30/20	K		
56. PIMCOO Investment Grade Credit Bond Fund (PIGIX)	A	Dividend	K	T	Buy	12/07/20	K		
57. Vanguard GNMA Admiral (VFIJX)	C	Dividend	M	T	Buy (add'l)	06/11/20	K		
58.					Buy (add'l)	07/01/20	K		
59. Northwestern Mutual Whole Life Policy	C	Dividend	M	T					
60. Northwestern Paid Up Life Insurance Policy #1	B	Dividend	M	T					
61. Northwestern Paid Up Life Insurance Policy #2	B	Dividend	M	T					
62.									
63. IRA #7 (Fidelity) (H)									
64. Fidelity Treasury Fund (FZFXX)	A	Dividend	J	T					
65. iShares Trust Core MSCI EAFE (IEFA)	A	Dividend	J	T					
66. iShares Core MSCI Emerging Markets (IEMG)	A	Dividend	K	T					
67. iShares 0-5 Year Invstment Grade Corporate (SLQD)	A	Dividend	K	T					
68. iShares Core S&P US Value ETF (IUSV)	A	Dividend	K	T					

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NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. NY 529 #1 (H)									
70. Aggressive Growth Portfolio		None	J	T	Buy (add'l)	01/14/20	J		
71.					Buy (add'l)	02/14/20	J		
72.					Buy (add'l)	03/13/20	J		
73.					Buy (add'l)	04/14/20	J		
74.					Buy (add'l)	05/14/20	J		
75.					Buy (add'l)	06/12/20	J		
76.					Buy (add'l)	07/14/20	J		
77.					Buy (add'l)	08/14/20	J		
78.					Buy (add'l)	09/14/20	J		
79.					Buy (add'l)	10/14/20	J		
80.					Buy (add'l)	11/13/20	J		
81.					Buy (add'l)	12/14/20	J		
82. Bond Market Index Portfolio		None	J	T	Buy (add'l)	01/14/20	J		
83.					Buy (add'l)	02/14/20	J		
84.					Buy (add'l)	03/13/20	J		
85.					Buy (add'l)	04/14/20	J		

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.)

☐

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86.					Buy (add'l)	05/14/20	J		
87.					Buy (add'l)	06/12/20	J		
88.					Buy (add'l)	07/14/20	J		
89.					Buy (add'l)	08/14/20	J		
90.					Buy (add'l)	09/14/20	J		
91.					Buy (add'l)	10/14/20	J		
92.					Buy (add'l)	11/13/20	J		
93.					Buy (add'l)	12/14/20	J		

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

401(k) #2 was completely rolled over in 2019.

On lines 11 and 34, the money market fund FDRXX was converted to FZFX (lines 12 and 33).

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Vincent L. Briccetti**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544