

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 08/01/2013
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 01/01/2012 to 12/31/2012
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.	Partner	Briccetti, Calhoun & Lawrence, LLP
2.	President	Primeview Associates, Inc.
3.	Trustee	Trust #1
4.	Director	Fordham Law Alumni Association
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. 4/21/2011	As former partner of Briccetti Calhoun & Lawrence LLP, I received my share of fees collected for work done prior to my departure, until firm dissolved in 2012
2.	
3.	

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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.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

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.)*

DATE

SOURCE AND TYPE

1. 2012

Greenwich Anesthesiology Associates, P.C. - Salary

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Federal Bar Council

Feb. 4-12, 2012

Kona, Hawaii

Bar association meeting
and CLE seminar

Transportation, meals, lodging

2. New York Intellectual
Property Law Association

March 23-24, 2012

New York, NY

Annual Dinner in Honor of
Federal Judiciary

Meals, lodging

3. Federal Bar Council

Sept. 21-23, 2012

Skytop, Pennsylvania

Bar association meeting
and CLE seminar

Meals, lodging

4.

5.

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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.			
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.	Dovenmuehle Mortgage Inc.	Mortgage partially on rental property	M
2.			
3.			
4.			
5.			

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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) 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)
1. Rental property #1, South Salem, NY (1993, \$62,458)	D	Rent	L	R					
2. Chase Bank, various accounts	A	Interest	L	T					
3. Fidelity Growth Company Fund	A	Dividend	K	T					
4. Fidelity NY Muni MM Fund	A	Dividend	J	T					
5. NMIS General NY Muni MM Fund Class B	A	Dividend	L	T					
6. Vanguard NY LT Tax-Exempt Fund Investor	A	Dividend	J	T					
7. IRA #1	C	Dividend	M	T					
8. - Vanguard Growth & Income Fund									
9. - Vanguard 500 Index Fund									
10. - Vanguard Windsor II Fund									
11. - Vanguard Wellington Fund									
12. IRA #2	C	Dividend	M	T					
13. - Vanguard Growth & Income Fund									
14. - Vanguard 500 Index Fund									
15. - Vanguard Windsor II Fund									
16. - Vanguard Wellington Fund									
17. 401(K) #1		None							

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 \$5,000,000	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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18. - American Funds The Growth Fund of America		None			Sold	12/21/12	J		
19. - Wellington Management Company Mid Cap Stock Fund		None			Sold	12/21/12	J		
20. - Franklin Templeton Investments International Value Fund		None			Sold	12/21/12	J		
21. - American Funds EuroPacific Growth Fund		None			Sold	12/21/12	J		
22. - American Funds American Balanced fund		None			Sold	12/21/12	K		
23. - MFC Global Investment Mgmt. Small Cap Index Fund		None			Sold	12/21/12	J		
24. - MFC Global Investment Mgmt. Mid Cap Index Fund		None			Sold	12/21/12	J		
25. - PIMCO Total Return Fund		None			Sold	12/21/12	K		
26. - PIMCO Real Return Fund		None			Sold	12/21/12	J		
27. - Russell Investment Group Russell Balanced Fund		None			Sold	12/21/12	N		
28. IRA #3	A	Dividend	O	T	Buy	12/26/12	O		
29. - T Rowe Price Summit Cash Reserves									
30. 401(K) #2	D	Dividend	M	T					
31. - Vanguard Wellington Fund									
32. Northwestern Mutual Whole Life Policy	B	Dividend	L	T					
33. Northwestern Variable Life Policy #1	A	Dividend	K	T					
34. - Northwestern MM									

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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. - Northwestern Balanced									
36. - Northwestern Index 500 Stock									
37. - Northwestern Growth Stock									
38. - Northwestern Index 400 Stock									
39. - Northwestern Small Cap Growth Stock									
40. - Northwestern Russell Global Real Estate Securities									
41. Northwestern Variable Life Policy #2	B	Dividend	L	T					
42. - Northwestern MM									
43. - Northwestern Balanced									
44. - Northwestern Index 500 Stock									
45. - Northwestern Growth Stock									
46. - Northwestern Index 400 Stock									
47. - Northwestern Small Cap Growth Stock									
48. - Russell Global Real Estate Securities									
49. Trust #1	C	Int./Div.	M	T					
50. - DWS Global High Income Plus Fund									
51. - DWS NY Tax Free Income Fund									

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52. - Croton Harmon NY Union Free School Tax Ex Muni Bond									
53. - Monroe Cnty NY ARPT Auth Rev Tax Ex Muni Bond									
54. - NY Insured Municipal Income Trust Series No. 190									
55. - NY Insured Municipal Income Trust Series No. 160									
56. - NY Insured Municipal Income Trust Series No. 171									
57. - Edward Jones MM									
58. - MetLife Investors Fixed Annuity									
59. - GE Capital Retail Bank Account					Buy	07/06/12	J		
60. - Goldman Sachs Bank USA Account					Buy	07/11/12	J		

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

Part III(A): My former law partnership, Briccetti, Calhoun & Lawrence, LLP, from which I withdrew in April 2011, was in the process of dissolving during 2012, and did finally dissolve at the end of 2012. Although, during 2012, I received my share of fees collected for work done prior to my departure from the firm, the partnership had a net loss for the year. Therefore, since my net income did not exceed the \$200 threshold, I had no reportable net income from the partnership.

Part VII, line 17: This 401(K) was entirely distributed to a direct Rollover IRA (IRA #3, Part VII, line 28).

Part VII, line 50: This asset was formerly known as DWS High Income Plus Fund. The name was changed to DWS Global High Income Plus Fund in February 2012.

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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
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Washington, D.C. 20544