

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 04/28/2015
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 01/01/2014 to 12/31/2014
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.	Trustee	Trust #1
2.	Director	Fordham Law Alumni Association
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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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2014

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

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. iShares S&P 500 Index		None	J	T	Buy	12/29/14	J		
6. NMIS General NY MM Fund Class B	A	Interest	J	T					
7. Nuveen New York Dividend Advantage Municipal 2	A	Dividend	J	T	Buy	10/21/14	J		
8. Vanguard NY LT Tax-Exempt Fund Investor	A	Dividend	J	T					
9. IRA #3	D	Dividend	M	T					
10. - T Rowe Price Blue Chip Growth Fund					Sold	10/17/14	M		
11. - T Rowe Price Equity Income Fund					Sold	10/17/14	L		
12. - T Rowe Price Mid-Cap Growth Fund					Sold	10/17/14	K		
13. - T Rowe Price Mid-Cap Value Fund					Sold	10/22/14	K		
14. - T Rowe Price Small-Cap Stock Fund					Sold	10/21/14	K		
15. - T Rowe Price Spectrum International Fund					Sold	10/17/14	M		
16. - T Rowe Price High Yield Fund					Sold	10/17/14	K		
17. - T Rowe Price International Bond Fund									

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

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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. - T Rowe Price New Income Fund									
19. IRA #4	A	Dividend							
20. - T Rowe Price Blue Chip Growth Fund					Sold	10/27/14	L		
21. - T Rowe Price Equity Income Fund					Sold	10/27/14	L		
22. - T Rowe Price Spectrum International Fund					Sold	10/27/14	J		
23. - T Rowe Price New Income Fund					Sold	10/27/14	K		
24. IRA #5 (Fidelity)	C	Dividend	O	T					
25. - Aberdeen Asia Pac Income					Buy	12/29/14	K		
26. - Doubleline Total Return Bond I					Buy	11/18/14	L		
27. - Fidelity Cash Reserves					Buy	10/20/14	N		
28. - Fidelity Floating Rate High Income					Buy	10/20/14	K		
29.					Buy (add'l)	10/21/14	K		
30.					Buy (add'l)	10/22/14	K		
31. - iShares Core MSCI Emerging Markets					Buy	10/20/14	L		
32. - iShares MSCI EAFE Small Cap Index					Buy	10/20/14	L		
33. - iShares S&P 500 Index					Buy	10/20/14	L		
34. - Nuveen Build America					Buy	10/22/14	K		

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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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)
35.					Buy (add'l)	11/25/14	K		
36. - SPDR Barclays Capital Short Term High Yield Bond					Buy	10/20/14	L		
37. - T Rowe Price Emerging Markets Bond Fund									
38. IRA #6 (Fidelity)	C	Dividend	M	T					
39. - Fidelity Cash Reserves					Buy	10/28/14	M		
40. - Fidelity Floating Rate High Income					Buy	10/27/14	K		
41.					Buy (add'l)	11/06/14	J		
42. - iShares Core MSCI Emerging Markets					Buy	12/29/14	J		
43. - iShares iBoxx \$ Investment Grade Corporate Bond					Buy	11/14/14	K		
44. - iShares MSCI EAFE Small Cap Index					Buy	12/29/14	J		
45. - Nuveen Build Amer Bd Fd					Buy	11/05/14	K		
46. - Payden High Income					Buy	11/05/14	J		
47.					Buy (add'l)	11/25/14	K		
48. 401(K) #2	D	Dividend	N	T					
49. -Vanguard 500 Index					Buy	10/06/14	M		
50.					Sold (part)	10/21/14	K		
51.					Sold (part)	11/05/14	K		

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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52.					Sold (part)	11/14/14	J		
53. - Vanguard Small Capitalization Stock					Buy	10/06/14	K		
54.					Sold (part)	11/05/14	J		
55.					Sold (part)	11/14/14	J		
56. - Vanguard Total Bond Market Index Inv					Buy	10/06/14	M		
57.					Buy (add'l)	10/21/14	K		
58.					Buy (add'l)	11/05/14	K		
59.					Buy (add'l)	11/14/14	K		
60. - Vanguard Wellington Fund					Sold (part)	10/06/14	N		
61.					Sold	10/16/14	J		
62. Northwestern Mutual Whole Life Policy	C	Dividend	L	T					
63. Northwestern Variable Life Policy #1	B	Dividend	L	T					
64. - Northwestern MM									
65. - Northwestern Balanced									
66. - Northwestern Index 500 Stock									
67. - Northwestern Growth Stock									
68. - Northwestern Index 400 Stock									

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69. - Northwestern Small Cap Growth Stock									
70. - Northwestern Russell Global Real Estate Securities									
71. Northwestern Variable Life Policy #2	B	Dividend	L	T					
72. - Northwestern MM									
73. - Northwestern Balanced									
74. - Northwestern Index 500 Stock									
75. - Northwestern Growth Stock									
76. - Northwestern Index 400 Stock									
77. - Northwestern Small Cap Growth Stock									
78. - Northwestern Russell Global Real Estate Securities									
79. Trust #1	D	Int./Div.	M	T					
80. - Afs Global Balanced Fund					Buy	11/06/14	J		
81. - Bank of America Corp					Buy	06/06/14	J		
82. - Deutsche Global High Income Fund									
83. - Deutsche NY Tax Free Income Fund									
84. - Croton Harmon NY Union Free School Tax Ex Muni Bond					Redeemed	10/15/14	J		
85. - GE Capital Corp InterNotes					Buy	06/06/14	J		

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
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86. - Monroe Cnty NY ARPT Auth Rev Tax Ex Muni Bond									
87. - NY Insured Municipal Income Trust Series No. 190									
88. - NY Insured Municipal Income Trust Series No. 160									
89. - NY Insured Municipal Income Trust Series No. 171									
90. - Edward Jones MM									
91. - MetLife Investors Fixed Annuity									
92. - GE Capital Retail Bank Account									
93. - Goldman Sachs Bank USA Account									

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

Part VII

- T Rowe Price Summit Cash Reserves reported on line 18 of the 2013 disclosure had a zero balance on Dec 31 2013 with no activity in 2014 and therefore is not included on this report.
- T Rowe Price Summit Cash Reserves reported on line 34 of the 2013 disclosure had a zero balance on Dec 31 2013 with no activity in 2014 and therefore is not included on this report.
- Lines 9-16: A portion of the assets in IRA #3 were transferred to IRA #5 (Fidelity) in kind and sold.
- T Rowe Price Emerging Markets Bond Fund reported on line 27 of the 2013 disclosure was transferred to IRA #5 (Fidelity) in kind and is currently held in IRA #5 (line 37 of this report).
- Lines 19-23: All of the assets in IRA #4 were transferred to IRA #6 (Fidelity) in kind and sold.
- Line 82: The fund previously referred to as DWS Global High Income Plus Fund (line 59 on the 2013 report) had its name changed to Deutsche Global High Income Fund.
- Line 83: The fund previously referred to as DWS NY Tax Free Income Fund (line 60 on the 2013 report) had its name changed to Deutsche NY Tax Free Income Fund.

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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