

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) Sidney, Stein H.	2. Court or Organization U.S. Federal District Court	3. Date of Report 08/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.D.C. Judge - Senior Status	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 U.S. Courthouse 500 Pearl Street New York, New York 10007-1312		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Directors	Practicing Law Institute, a not for profit organization for continuing legal education
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.	

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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. 2012	West Services, Inc. - royalty	\$8,305.73
2. 2012	Yale University - teaching	\$12,000.00
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. American Bar Association	7/6/12-7/13/12	Cairo, Egypt	Workshop with Egyptian judges	transportation, lodging and food
2. National Committee on US-China Relations	11/29/12-12/7/12	Haikou, China	Rule of Law Conference	transportation, lodging and food
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.)*

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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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. MONEY MARKETS									
2. JPMORGAN U.S. GOVT.	A	Interest	L	T					
3. Dreyfus Tax Free NY Muni Money Market Fund	A	Interest	K	T	Sold (part)	1/26/12	M		
4.									
5. COMMON STOCKS									
6. BERKSHIRE HATHAWAY CORP.		None	P1	T					
7. GRANT AVE CORP		None	P1	W					
8.									
9. TAX EXEMPT BONDS									
10. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
11. NEW YORK ST MTG AGY REV HOMETOWN MTG -29-a-RMKT	C	Interest	M	T					
12. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
13. NY State Power Auth Rev & Gen Purp Ser Detm	A	Interest	K	T					
14. NYS STATE POWER AUTH SER G 1/1/10	A	Interest	K	T					
15. NEW YORK ST HSG FIN AGY GEN SER A	D	Interest	M	T					
16. NEW YORK STATE POWER AUTH.	C	Interest	K	T					
17. N.Y.S. THRWDY AUTH 5.3%, 4/1/15	D	Interest	M	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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 I (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. LONG ISLAND PWR 5% 8/1/17	C	Interest	M	T					
19. ARDSLEY NY 4.25% 6/1/18	C	Interest			Sold	11/27/12	M	D	
20. ERIE CTY NY 5.75% 5/1/25	C	Interest	L	T					
21. NASSAU CTY NY 5% 7/1/22	C	Interest	M	T					
22. NYS DORM 5%, 7/1/21	C	Interest	L	T					
23. TRIBOROUGH BRDG & TUNL, 5%, 11/15/23	C	Interest	L	T					
24. MINNEAPOLIS MINN 6.375%, DTD 11/12/08	A	Interest	J	T					
25. NYS DORM AUTH, 5%, dtd 3/15/24	C	Interest	M	T					
26. NYS DORM 5/25%, 5/15/15	C	Interest			Sold	8/22/12	M	D	
27. NASSAU CTY N.Y. 5%, 11/15/15	C	Interest			Sold	9/27/12	M	D	
28. CALIFORNIA STATE 5.5%, 4/1/19	C	Interest	L	T					
29. CITIZENS PPTY INS. CORP. 5.5%, 6/1/16	C	Interest	L	T					
30. MTA 5.5%, 11/15/17	C	Interest	L	T					
31. NYS DORM 5%, 2/15/18	C	Interest	M	T					
32. ALLEGHENY CITY, PA. 5%, 8/15/19	C	Interest	L	T					
33. NORTH PENN, PA 5%, 9/1/16	C	Interest	M	T					
34. NYC, NY 5.25%, 9/1/21	D	Interest	M	T					

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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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)

35. NYS DORM 5%, 7/1/18	A	Interest	K	T					
36. CALIFORNIA ST. 5%, 11/1/17	D	Interest	L	T					
37. MICHIGAN FIN. 3%, 12/1/14	B	Interest	L	T					
38. NYC 2.1%, 4/1/36	B	Interest			Sold	1/31/12	M	C	
39. NYC, NY 5%, 6/15/25	C	Interest			Sold	11/6/12	M	D	
40. TEX. ST. 5%, 4/1/23	C	Interest	M	T					
41. NYS 3%, 7/1/16	C	Interest	M	T					
42. PA ST. 5%, 7/1/20	D	Interest	M	T					
43. NYS 5.5%, 4/1/19	D	Interest	M	T					
44. MTA 5%, 11/15/22	D	Interest	M	T					
45. ATLANTA, GA. 4%, 1/1/17	C	Interest	M	T					
46. NYC, NY 5%, 7/1/23	D	Interest	M	T					
47. NYC, NY 5%, 11/1/24	C	Interest	M	T					
48. NYC, NY 5%, 10/1/17	D	Interest	M	T					
49. NYS THWY 5%, 4/1/26	C	Interest	M	T					
50. ERIE CTY NY 5%, 5/1/17	C	Interest	M	T					
51. NYS 5%, 6/15/26	C	Interest	M	T					

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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☐ 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)
52. SWARTHMORE 5%, 9/15/18	C	Interest	M	T					
53. NYC 5%, 7/1/17	B	Interest	L	T					
54. NYC 5%, 7/15/23	C	Interest	M	T					
55. SOUTHEASTERN PA 5%, 6/1/24	B	Interest	M	T	Buy	1/13/12	L		
56. INDIANA ST. 5%, 2/1/24	C	Interest	M	T	Buy	1/26/12	M		
57. HARRIS CTY, TX 5%, 10/1/27	B	Interest	M	T	Buy	5/15/12	M		
58. HEMPSTEAD, NY 4%, 8/15/19		None	M	T	Buy	8/22/12	M		
59. MCKINNEY, TX 5%, 2/15/20					Buy	8/29/12	L		
60. MCKINNEY, TX 5%, 2/15/20		None	M	T	Buy	9/27/12	K		
61. ARIZONA ST 5%, 10/1/19		None	M	T	Buy	9/25/12	M		
62. NYS DORM AUTH 4%, 5/15/19		None	M	T	Buy	11/5/12	M		
63. ARIZONA 5%, 6/1/28		None	M	T	Buy	11/21/12	M		
64.									
65. MUTUAL FUNDS									
66. BRANDYWINE FUND INC.					Sold (part)	8/22/12	M		
67. BRANDYWINE FUND INC.		None			Sold	11/27/12	N		
68. VANGUARD 500 INDEX FUND					Buy	1/3/12	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. VANGUARD 500 INDEX FUND					Buy	3/26/12	J		
70. VANGUARD 500 INDEX FUND					Buy	6/25/12	J		
71. VANGUARD 500 INDEX FUND					Buy	8/27/12	N		
72. VANGUARD 500 INDEX FUND					Buy	9/24/12	J		
73. VANGUARD 500 INDEX FUND					Buy	11/28/12	N		
74. VANGUARD 500 INDEX FUND					Buy	12/24/12	K		
75. VANGUARD 500 INDEX FUND					Sold (part)	12/26/12	L		
76. VANGUARD 500 INDEX FUND	E	Dividend	P1	T	Buy	12/28/12	N		
77. DAVIS NY VENTURE FUND INC. CL. A	F	Dividend	P1	T	Buy	12/19/12	L		
78. IRONBRIDGE FRONTENEGRA FUND	F	Dividend	P1	T	Buy	12/18/12	L		
79. VANGUARD VALUE INDEX SIGNAL FUND					Buy	3/26/12	J		
80. VANGUARD VALUE INDEX SIGNAL FUND					Buy	6/25/12	J		
81. VANGUARD VALUE INDEX SIGNAL FUND					Buy	9/24/12	J		
82. VANGUARD VALUE INDEX SIGNAL FUND	D	Dividend	O	T	Buy	12/24/12	J		
83. DODGE & COX INT'L STOCK FUND	E	Dividend	P1	T	Buy	12/21/12	K		
84. JANUS CORP EQUITY FUND (IRA)	E	Dividend	P1	T					
85.									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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.)

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86. MISCELLANEOUS									
87. CASH, JPMORGAN CHASE	E	Interest	O	T					
88. FINE ARTS HELD AS TENANT-IN-COMMON		None	P1	W					
89. ARBOR PPTY TRUST		None	K	T					
90. SERVICEMASTER LP		None	M	T					
91.									
92. NOTE: JUDGE STEIN HAS ELECTED NOT TO									
93. LIST INFORMATION [REDACTED]									
94.									
95.									
96.									

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

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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/ Stein H. Sidney

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