

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) Cedarbaum, Miriam G.	2. Court or Organization US District Court -SDNY	3. Date of Report 05/08/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge - Senior	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 US Court House 500 Pearl Street New York, NY 10007		
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 Emerita	Barnard College
2.	Trustee	Trust UWO [REDACTED]
3.	Board Member	[REDACTED] Apartment Corporation
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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	Davis Polk & Wardwell Pension	\$10,468.00
2. 2012	Museum of Modern Art Pension Trust-Pension	\$1,745.88
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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. HSBC IRAS	B	Interest	L	T					
2. TD Bank	A	Interest	L	T					
3. HSBC DEPOSIT ACCOUNTS	A	Interest	J	T					
4. (H) First Manhattan Acct									
5. Nassau County, NY Bonds-11/15/13	B	Interest	K	T					
6. New York St Dorm Auth Revs ST	A	Interest	J	T					
7. NY NY Mun WTR Fin Auth-6/15/15	B	Interest			Redeemed	06/15/12	K		
8. NY NY Mun WTR Fin Auth-6/15/15	B	Interest			Redeemed	06/15/12	K		
9. New York Trans Fin-Future Tax Seed - 2/1/13	B	Interest	K	T					
10. NYS UDC PIT-3/15/15	B	Interest	K	T					
11. NY Thruway Fuel TX MBIA-4/1/13	B	Interest	L	T					
12. Long Island Pwr, NY-6/1/13	B	Interest	K	T					
13. NY Environmental facs 6/15/13	B	Interest	K	T					
14. NY Environmtl PIT FGIC 12/15/13	B	Interest	K	T					
15. NYS Thruway SVC CTRCT-4/1/14	B	Interest			Redeemed	04/16/12	K		
16. NY UDC Per Inc TX FGIC-3/15/12	A	Interest			Redeemed	03/15/12	K		
17. Virgin Island PFA Rum Tax-10/1/18	B	Interest	K	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 H = \$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 = \$250,000,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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)

18. NY ST Thruway Svc CT-11/15/11	B	Interest	K	T					
19. New York TWY Fuel TX AMBAC-4/1/20	B	Interest			Redeemed	04/23/12	K		
20. NY Dorm Mental Health FGIC-2/15/19	A	Interest	J	T					
21. Johnson & Johnson Com	B	Dividend	K	T					
22. Leucadia National Corp	A	Dividend	K	T					
23. First Manhattan Cash & Cash Equivalents		None	J	T					
24. (H) Brokerage # 1 - Trust UWO									
25. -Cash & Equivalents:First Manhattan Co.	A	Interest	M	T					
26. Ascent Cap Group		None	J	T					
27. -RHJ International Common		None	K	T					
28. -American Express Common	A	Dividend	L	T					
29. -Berkshire Hathaway Common		None	L	T					
30. -Discovery Hldg Corp Common		None	M	T					
31. -Johnson & Johnson, Common	B	Dividend	K	T					
32. -Leucadia National Corp.	A	Dividend	K	T					
33. -Onex Corp Common	A	Dividend	L	T					
34. Loews Corp	A	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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. Walgreen Corp.	B	Dividend	L	T					
36. Mosaic Co New Com	A	Dividend	L	T	Buy	04/16/12	L		
37. -Metropolitan Trans Auth	B	Interest			Redeemed	11/15/12	K		
38. -City of New York Bonds	B	Interest			Redeemed	03/15/12	K		
39. ConocoPhillips Com.	C	Dividend	L	T	Buy	05/09/12	L		
40. Allison Transmission Inc., 7.125%, 5/15/15	B	Interest	L	T	Buy	07/13/12	L		
41. -Port of Authority of NY & NJ-01/15/39	B	Interest	L	T					
42. -NY ST Housing Auth-9/15/28	C	Interest	L	T					
43. Stancorp Finl Group Inc.-6.9%, 6/1/67	C	Interest	K	T					
44. Stancorp Finl Group Inc.-6.9%, 6/1/67	C	Interest	L	T					
45. Brookfield Infrastructure		None	L	T					
46. -Puerto Rico Commonwealth	A	Interest	J	T					
47. -William Floyd UN-6/15/20	B	Interest			Redeemed	06/15/12	L		
48. (H) First Manhattan Co. Rollover IRA									
49. -Cash & Equivalents: First Manhattan Bank	A	Interest	L	T					
50. -RHJ International Common		None	K	T					
51. -American Express Common	A	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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)
52. -Berkshire Hathaway Common		None	L	T					
53. -Discovery Hldg Common		None	M	T					
54. -Johnson & Johnson Com	C	Dividend	L	T					
55. -Leucadia National Corp	A	Dividend	L	T					
56. -Onex Corp Common	A	Dividend	L	T					
57. Leucadia Natl corp 3/15/2017	B	Interest			Redeemed	03/15/12	L	D	
58. Leucadia Natl Corp 9/15/2015	C	Interest	L	T	Buy	03/16/12	L		
59. Ascent Media Corp Ser A		None	J	T					
60. Loews Corp.	A	Dividend	L	T					
61. Walgreen Corp	B	Dividend	L	T					
62. Bank of America		None	J	T					
63. Stancorp Finl Group Inc.	C	Interest	L	T					
64. Brookfield Asset Mgmt Inc	B	Interest	K	T					
65. Stancorp Finl Group	C	Interest	K	T					
66. Brookfield Infrastrure	C	Dividend	L	T					
67. Vornado Rlty L P NT	B	Interest	L	T	Buy	04/16/12	L		
68. ConocoPhillips Com	B	Dividend	L	T	Buy	05/09/12	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Cedarbaum, Miriam G.

Date of Report

05/08/2013

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/ Miriam G. Cedarbaum**

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