

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) Seibel, Cathy	2. Court or Organization U.S. District Court --S.D.N.Y.	3. Date of Report 05/12/2015
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 Charles L. Bricant U.S. Courthouse 300 Quarropas St., Rm. 633 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. board member	Fordham Law Alumni Association
2. Adjunct Professor of Law (part-time trial practice instructor)	Columbia University School of Law
3. board member	
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. 2014	\$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2015
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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. 2014	Columbia University -- payment for teaching	\$10,000.00
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.)*

DATE	SOURCE AND TYPE
1. 2014	New York University -- salary as faculty member and physician
2. 1/2/14	New York Times -- payment for writing
3. 2/4/14	New York Medical College -- payment for speaking
4. 2/6/14	New York Times -- payment for writing
5. 3/5/14	New York Times -- payment for writing
6. 3/7/14	Johns Hopkins University Press -- book royalties
7. 3/14/14	Tufts University -- payment for speaking
8. 3/26/14	Johns Hopkins University Press -- book royalties
9. 4/11/14	Harvard University -- payment for speaking
10. 4/29/14	Beacon Press -- book advance
11. 5/13/14	Mount Sinai Medical Center -- payment for speaking
12. 5/8/14	American Association for the History of Medicine -- \$1000 for award/lecture
13. 5/20/14	University of Pennsylvania -- payment for speaking
14. 6/6/14	Dartmouth College -- payment for speaking
15. 6/10/14	Beth Israel Medical Center -- payment for speaking

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

16. 6/16/14	Taylor & Francis -- payment for writing
17. 7/3/14	Dow Jones -- payment for writing
18. 8/1/14	University of Michigan -- payment for speaking
19. 9/11/14	Montefiore Hospital -- payment for speaking
20. 9/26/14	New York Times -- payment for writing
21. 9/27/14	University of Pennsylvania -- payment for speaking
22. 10/14/14	Miami University of Ohio -- payment for speaking
23. 10/23/14	Englewood Hospital -- payment for speaking
24. 10/30/14	University of Utah -- payment for speaking
25. 11/18/14	Beacon Press -- book royalty
26. 11/18/14	New York Times -- payment for writing
27. 11/18/14	New York Times -- payment for writing
28. 12/18/14	York University Hospital -- payment for speaking (speech was 12/18/14 but payment received in 2015)
29. 12/11/14	Yeshiva University -- payment for speaking (speech was 12/11/14 but payment received in 2015)
30.	
31.	

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 Antitrust Section	3/26/14-3/27/14	Washington, D.C.	program at Antitrust Section spring meeting	lodging, meals, mileage, parking
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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 5 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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. Heritage Fund (formerly American Century Vista Fund)	D	Dividend	L	T					
2. Astoria Federal Savings account (savings)	A	Interest			Closed	01/07/14	M		
3. Astoria Federal Savings account (savings)	A	Interest			Closed	01/07/14	L		
4. Astoria Federal Savings Insured Money Maker Account	A	Interest	M	T	Open	01/07/14	M		
5. Astoria Federal Savings Insured Money Maker Account	A	Int./Div.	L	T	Open	01/07/14	L		
6. Astoria Federal Savings account (checking)	A	Interest	J	T					
7. AT&T common stock	A	Dividend	J	T					
8. AT&T common stock	A	Dividend	J	T					
9. Brandywine Fund	A	Dividend	L	T					
10. Comcast common stock	A	Dividend	J	T					
11. Comcast common stock	A	Dividend	J	T					
12. Prudential (formerly Dryden) Global Total Return Fund	A	Dividend	J	T					
13. Dreyfus NY Tax-Exempt Bond Fund	B	Dividend	K	T					
14. Enbridge Energy Partners LP common stock	B	Dividend	K	T					
15. Fidelity Magellan Fund (IRA)	D	Distribution	K	T					
16. Fidelity Capital Appreciation Fund (IRA)	C	Distribution	K	T					
17. Fidelity NY Muni Income Fund	C	Interest	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 6 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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18. Janus Fund	C	Dividend	M	T					
19. John Hancock Patriot Premium Div Fund I common stock	B	Dividend	K	T					
20. Morgan Stanley Active Assets Money Trust	A	Interest	M	T					
21. RS Growth Fund	B	Distribution	L	T					
22. TIAA/CREF T-C Lifecycle 2025 Inst Fund (formerly Rtrmt. Fund)	A	Dividend	K	T					
23. TIAA/CREF Lifecycle Index 2025 Prem. Fund	A	Dividend	J	T					
24. TIAA/CREF stock fund (retirement annuity)		None	N	T					
25. TIAA/CREF global equity fund (retirement annuity)		None	L	T					
26. T. Row Price Blue Chip Growth Fund IRA	A	Dividend	K	T					
27. T. Rowe Price Blue Chip Growth Fund IRA	A	Dividend	K	T					
28. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
29. T. Rowe Price Prime Reserve Fund	A	Dividend	M	T					
30. T. Rowe Price Prime Reserve Fund	A	Dividend	N	T					
31. Vanguard 500 Index Fund (retirement annuity)	B	Dividend	N	T					
32. Vanguard International Growth Fund (retirement annuity)	B	Dividend	L	T					
33. Vanguard Long-Term Treasury Inv. Fund (retirement annuity)	B	Dividend	J	T					
34. Vanguard Long-Term Bond Index Fund (retirement annuity)	A	Dividend	J	T					

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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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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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35. Vanguard Infl'n-Prot'd Seclnst (formerly Sec A) (retirement annuity)	A	Dividend	K	T					
36. Vanguard US Growth Adm (retirement annuity)		None	J	T					
37. Vanguard Target 2025 Inv (retirement annuity)	A	Dividend	K	T					
38. Vanguard Int Term Inv Gd Adm (retirement annuity)	A	Dividend	K	T					
39. Vanguard High Yield Corp Adm (retirement annuity)	A	Dividend	J	T					
40. Zweig Total Return Fund Inc.	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Seibel, Cathy

Date of Report

05/12/2015

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/ **Cathy Seibel**

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
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