

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Berman, Richard M.	2. Court or Organization U.S. District court - S.D.N.Y.	3. Date of Report 10/26/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. District Court 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.)*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. _____

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.	Morgan Stanley	Line of Credit	N
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. Apple Inc	A	Dividend	L	T					
2. Liberty Media Corp Liberty Cap Cl A	A	Dividend	K	T					
3. LM CBA Equity Income Builder Fund CL A	A	Dividend	K	T					
4. Morgan Stanley Money Market Fund	A	Interest	J	T					
5. US Treasury Inflation Index NTS CPI Non Seasonally	A	Interest	M	T					
6. SPDR S&P 500 ETF Trust		None	K	T					
7. Liberty Media Corp Liberty Cap com Ser A		None	K	T					
8. Liberty Media Corp Liberty Cap Com Ser A		None	K	T					
9. SPDR Gold Trust		None	J	T					
10. Vanguard 500 Index Trust	C	Distribution	M	T					
11. Vanguard Total Intl Index	C	Distribution	M	T					
12. Vanguard Total Stock Index	D	Distribution	M	T					
13. Fairholme Fund	D	Dividend			Sold (part)	07/27/15	K	C	
14.					Buy (add'l)	12/11/15	L		
15.					Sold (part)	12/18/15	L		
16.					Sold	12/23/15	M		
17. Ishares Russell 2000 Index Fund	B	Dividend	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 ~\$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)
18. UTS SPDR Trust Ser 1	C	Dividend	L	T					
19. TSASC Inc NY TOB Settlement Asset	C	Interest	L	T					
20. New York St Urban Dev Corp Rev Personal Income Tax	B	Interest	M	T					
21. Metropolitan Trans Auth NY Dedicated Tax FD A Revs FGIC	C	Interest			Sold	10/01/15	L		
22. T-C Infl Lnkd Bond Rtmt	A	Distribution	K	T					
23. T-C Lifecycle 2020 Rtmt		None	K	T					
24. T-C Lifecycle Rtmt Inc Rtmt	A	Distribution	K	T					
25. Property Indian River County, FL	E	Rent	L	W					
26. Scottsdale Ariz Mun PPTY Corp Excise Tax Rev Pref B/E	B	Interest			Sold	01/13/15	K	A	
27. China Mobile LTD Spn ADR	A	Dividend	J	T					
28. SPDR Gold Trust		None	K	T					
29. Ishares TR Dow Jones US	A	Dividend	J	T					
30. Union Pacific corp	A	Dividend	J	T					
31. Rydex ETF TR Index Fund	A	Dividend	J	T					
32. New Jersey St Genl Obligation	B	Interest	K	T	Sold (part)	01/13/15	K	A	
33. New York State Dorm Auth Pers Inc Tax Rev 2/15/2022	B	Interest	L	T					
34. Spartan Total Market Index	A	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 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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	(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. Spartan Small Cap Index	A	Interest	K	T					
36. Costco Wholesale Crp	A	Dividend	K	T					
37. Goldman Sachs Group Inc	A	Dividend	K	T					
38. Vanguard S and P Mid Cap 400	A	Dividend	J	T					
39. Liberty Media Corporation.com	A	Dividend	J	T					
40. NYC GO Ser E 8/01/2019	B	Interest			Sold	06/03/15	L		
41. Netflix	A	Dividend	J	T					
42. Liberty Media Corp Ser A		None	K	T					
43. NYC GO Ser F 11/15/2018	A	Interest			Sold	02/18/15	L		
44. United States Treasury Bill	B	Interest	M	T					
45. NYC GO Ser E 8/1/2018	C	Interest			Sold	06/03/15	M		
46. Liberty Spingo Inc C1 A	A	Dividend	J	T					
47. Invisa Inc	A	Dividend	J	T					
48. Stratasys LTD	A	Dividend	J	T					
49. Guggenheim S&P 500 Equal Weight	A	Dividend	K	T					
50. Vanguard S&P 500 ETF	A	Dividend	K	T					
51. Metropolitan Trans Auth NY Tax FD 11/15/2020	D	Interest			Sold	05/27/15	L		

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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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52. NYC GO Ser I 4/1/2019	B	Interest			Sold	10/22/15	M		
53. NYC GO Ser B 8/15/2018	B	Interest			Sold	10/21/15	M		
54. NYC Trans Fin Auth Future Tax Ser D 11/1/2019	A	Interest			Sold	02/18/15	K		
55. Freeport NY GO Ser A 5/1/2019	B	Interest			Sold	01/13/15	L		
56. Western Asset Short Duration Muni Inc C	A	Dividend			Sold (part)	09/03/15	M		
57.					Sold	11/19/15	L		
58. Rochester NY 8/15/2018	D	Interest			Sold (part)	05/27/15	J		
59.					Sold (part)	09/15/15	K		
60.					Sold	10/21/15	M		
61. Metropolitan Trans Auth NY Tax FD A 11/15/2021	D	Interest	M	T					
62. Metropolitan Trans Auth NY Rev D 11/15/2018	D	Interest	L	T	Sold (part)	05/20/15	M		
63.					Sold (part)	05/27/15	M		
64.					Sold (part)	10/21/15	M		
65. NYC GO Ser G 12/15/2019	C	Interest			Sold	07/14/15	M		
66. North Towanda NYC 9/15/2020	C	Interest	M	T					
67. North Towanda NYC 9/15/2020	A	Interest			Sold (part)	01/13/15	L		
68. NYS Dormitory Auth Sales Tax A 3/15/2020	A	Interest			Sold	01/13/15	K		

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69. Liberty Broadband Corp	A	Interest			Sold	01/08/15	J	A	
70. Chicago Ill 1/1/2032	B	Interest			Buy	07/14/15	M		
71.					Sold	10/30/15	M	A	
72. Liberty NY Dev Corp 10/1/2035	D	Interest			Buy	05/27/15	M		
73.					Sold	12/14/15	M	A	
74. Nassau Cnty NY 4/1/33	C	Interest			Buy	06/03/15	M		
75.					Sold	12/14/15	M	B	
76. NYC Trans Fin Auth Future Tax 2/1/2035	B	Interest			Buy	05/20/15	M		
77.					Sold	12/14/15	M	B	
78. NYS Dorm Auth Pers Tax Ser B 3/15/2030	D	Interest	M	T	Buy	02/18/15	M		
79. Port Auth 12/1/2027	B	Interest	M	T	Buy	09/09/15	M		
80. NYS Thruway Auth 1/1/2032	A	Interest	M	T	Buy	09/09/15	M		
81. NYC GO Ser C 8/1/2032	A	Interest	M	T	Buy	10/21/15	M		
82. Chicago City GO Ref A 1/1/2034	A	Interest	M	T	Buy	10/22/15	M		
83. Liberty NY Dev Corp 10/1/2037	A	Interest	N	T	Buy	10/21/15	N		
84. City of Chicago Second Lien 11/1/2030	A	Interest	M	T	Buy	10/30/15	M		
85. Troy NY Cap Resource 8/1/2029	A	Interest	M	T	Buy	11/19/15	M		

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86. Triborough Bridge Ref B 11/15/2025	A	Interest	M	T	Buy	12/23/15	M		
87. Illinois GO 3/1/2024	A	Interest	M	T	Buy	12/23/15	M		
88.									

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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/ **Richard M. Berman**

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