

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2006

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) Richard Owen		2. Court or Organization U.S. District Court Southern District of New York		3. Date of Report 5/15/07
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Full Time U.S. District Judge		5a. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial XX Annual ____ Final		6. Reporting Period 1/1/06-12/31/06
		5b. ____ Amended Report		
7. Chambers or Office Address U.S. Courthouse 40 Centre Street New York, NY 10007		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____		
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. Sign on last page.				

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
☐ NONE (No reportable positions.)	
1 Trustee	Manhattan School of Music
2 President and Board Member	NY Lyric Opera Co.
3	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1	
2	

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	INCOME
A. Filer's Non-Investment Income		
☐ NONE (No reportable non-investment income.)		
1 Richard Owen	Music Royalties-Amer.Society of Composers, Authors and Publishers (ASCAP)	\$ 201
2 [REDACTED]	Opera and concert singer; Faculty Member-Manhattan School of Music; Assist. Prof. Barnard College-in voice	\$
3		\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☐ NONE (No reportable non-investment income.)
1
2

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 FINANCIAL DISCLOSURE OFFICE

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VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

Description of Asset (including trust assets) Place "00" 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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amc. Code (A-H)	Type (e.g., div, real, or mt)	Value Code (J-P)	Value Method Code (Q-W)	Buy/Sell/ Trans. Code	Date Month Day	Value Code (J-P)	Gain Code (A-H)	Identify of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
		RIC	HARD	OWEN					
1 AGERE SYSTEMS		NONE	J	T					
2 ALCATEL-LUCENT ADR		NONE	J	T	MERCER	11/30	J	A	NOTE LUCENT
3 LUCENT		NONE			MERCER	11/30			MERGED INTO ALCATEL-LUCENT
4 ANHEUSER BUSCH COS	A	DIV	J	T					
5 CONSOLIDATED EDISON	A	DIV	J	T	BUY	5/9	J		
6 DOW CHEMICAL CO.	A	DIV	J	T					
7 FIFTH THIRD BANCORP	A	DIV	J	T					
8 HANES BRANDS INC		NONE	J	T	SPW-OFF	9/11	J		FR: SARA LEE CORP.
9 H J HEWZ	A	DIV	J	T					
10 HOME DEPOT	A	DIV	J	T					
11 INTEL CORP	A	DIV	J	T					
12 KIMBERLY CLARK	A	DIV	J	T					
13 MOTOROLA INC.	A	DIV	J	T					
14 PROCTER & GAMBLE	A	DIV	K	T					
15 QUALMAX		NONE	J	T					F/K/A BENCH GROUP INC
16 SARA LEE	A	DIV	J	T	BUY	1/23	J		
17 FHQB 5.015% 10-8-08	A	INT	J	T					

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, D3)	J=\$15,000 or less N=\$150,001-\$500,000 P=\$250,001-\$500,000	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 Col. C2)	Q=Appraisal D=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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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) Amt. Code (A-H)	(2) Type (e.g., div. rent or int.)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Buy, sell, transfer, reinvestment	(2) Date Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-F)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
		RICHARD	OWEN						
1 FHCB 6.5% 11-13-09	B	INT	K	T					
2 NY ST TWY AUTH 4.6% 4-1-09	A	INT	K	T					
3 NYC G/O 5.25% 8-1-09	A	INT	J	T					
4 CORNWG NY 4% 11-15-11	A	INT	K	T					
5 NY NYC MUN WTR FIN AUTH 4.75% 6-15-12	B	INT	K	T					
6 HILTON CSD NY 3.75% 6-15-13	A	INT	K	T					
7 W BABYLON UFSD NY 4% 7-15-14	A	INT	J	T					
8 GROUPE DANONE ADR		NONE			SELL	3/30	J	A	
9 GROUPE DANONE ADR		NONE			SELL	4/4	J	A	
10 INT'L PAPER	A	DIV			SELL	5-8	J	A	
11 JP MORGAN CHASE 6.125% 1-15-06	B	INT			REDEEM	1-15	K	B	
12 MELLON FWL		NONE			SELL	1-3	J	A	
13 MELLON FWL		NONE			SELL	1-10	J	A	
14									
15									
16									
17									

1	Income/Gain Codes: (See Col. B1, D4)	A=\$1,000 or less F=\$50,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	O=\$2,501-\$5,000 H=\$5,001-\$1,000,000	D=\$5,001-\$15,000 H2=More than \$5,000,000	B=\$15,001-\$50,000
2	Value Codes: (See Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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Description of Asset (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) Amt. Code (A-H)	(2) Type (Div, Int, etc.) (I-E)	(1) Value Code (J-P)	(2) Value Method Code (Q-V)	(1) Buy, Sell, Transfer, Redemption	(2) Date Month Day	(3) Value Code (1-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)	RICHARD		OWEN						
1 SOUTHERN	A	DIV	J	T					
2 INTER PUBLIC	A	DIV	J	T					
3 PENN WEST PET	B	DIV	J	T					
4 UNICOM	A	DIV	J	T					
5 SBC COMMUNICATION	A	DIV	J	T					
6 UNITED TECHNOLOGIES	A	DIV	J	T					
7 AMERICAN ELEC POWER	B	DIV	K	T					
8 AMERITECH	A	DIV	J	T					
9 BELL SOUTH	A	DIV	J	T					
10 GLOBAL CROSSING		NONE	A	T					
11									
12									
13									
14									
15									
16									
17									

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	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 I=\$15,001-\$50,000	E=\$15,001-\$50,000
2	Value Codes: J=\$15,000 or less (See Col. C1, D3)	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000	L=\$50,001-\$100,000 P=\$1,000,001-\$5,000,000	M=\$100,001-\$250,000 Q=\$250,001-\$500,000	N=\$500,001-\$1,000,000 R=\$1,000,001-\$5,000,000
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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure				
	Place "02" after each asset exempt from prior disclosure	Am't. Code1 (A-H)	Type Code2 (div, real, or int.)	Value Code2 (I-P)	Value Method Code3 (Q-W)	Type Code1 (buy, sell, or other)	Date Month Day	Value Code2 (I-P)	Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)										
1 AGERE SYSTEMS		NONE	J	T						
2 ALCATEL - LUCENT ADR		NONE	J	T	MERGER	11/30	J	A	NOTE LUCENT MERGED INTO	
3 LUCENT		NONE			MERGER	11/30			ALCATEL LUCENT	
4 ANHEUSER BUSCH COS	A	DIV	J	T						
5 CONSOLIDATED EDISON	A	DIV	J	T						
6 DOW CHEMICAL	A	DIV	J	T						
7 FIFTH THIRD BANCORP	A	DIV	J	T	BUY	5-9	J			
8 HANES BRAND INC		NONE	J	T	SPWOFF	9-11	J		FR: SARACEE CORP	
9 HOME DEPOT	A	DIV	J	T						
10 INTEL	A	DIV	J	T						
11 MOTOROLA	A	DIV	J	T						
12 PROCTOR & GAMBEL	A	DIV	K	T						
13 SARACEE CORP	A	DIV	J	T	BUY	1-23	J			
14 CIT GROUP 5.5% 11-30-09	A	INT	J	T						
15 STRIPS US TREAS 0% 8-15-08	A	INT	K	T						
16 FHLB 5-015% 10-8-08	A	INT	J	T						
17 5 HUNTINGTON NY USFD 3 1-25% 5-15-11	A	INT	J	T						

1	Income/Gain Codes: (See Col. B1, 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 I=More than \$5,000,000	E=\$15,001-\$50,000
2	Value Codes: (See Col. C1, D3)	J=\$15,000 or less N=\$250,001-\$500,000 P=\$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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☐ NONE (No reportable income, assets, or transactions.)									
1 NY ST TWY AUTH 3.75% 4-11-2012	A	WT	J	T					
2 RYE BROOK NY 3.375 4-15-08	A	WT	J	T					
3 SUFFOLK CO NY 3.625 12-11-04	A	WT	J	T					
4 GROUPE DANONE ADR		NONE			SELL	3-30	J	A	
5 GROUPE DANONE ADR		NONE			SELL	9-4	J	A	
6 MELLON FWL CORP		NONE			SELL	1-10	J	A	
7 INT'L PAPER	A	DIV			SELL	5-8	J	A	
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									

1	Income/Gain Codes (See Col. B1, D4)	A=\$1,000 or less P=\$50,001-\$100,000	B=\$1,001-\$2,500 Q=\$100,001-\$1,000,000	C=\$2,501-\$5,000 R=\$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

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



Date

5/14/7

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Court
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544