

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2016Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 10/23/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 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. Director (ex officio as former president)	St. John's School of Law, Alumni Association (uncompensated)
2. Trustee (ex officio as former president)	Federal Bar Council (uncompensated)
3. Board of Managers	Havens Relief Fund Society (uncompensated)
4. Adjunct Professor	NYU School of Law (compensated)
5. Trustee	Family Irrevocable Trust (uncompensated) (Brk Act #9 on Part VII)

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. 10/27/03	Cahill Gordon & Reindel LLP agreement in connection with withdrawal from firm. (Copy of agreement filed with 2006 FDR and those of prior years.)
2. 3/4/13	Cahill Gordon & Reindel LLP renouncement of all future payments. (Copy filed with 2012 FDR.)
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. 1/1/2016	NYU School of Law-teaching	\$27,225.00
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.)*

<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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	E	Dividend	N	T					
2. Brk Act #1 Fidelity Cash Reserves [FDRXX]	A	Dividend	N	T	Sold (part)	11/21/16	K		
3. same as above					Sold (part)	12/05/16	K		
4. same as above					Sold (part)	11/25/16	L		
5. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	C	Dividend	N	T	Sold (part)	12/01/16	K	D	
6. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	C	Dividend	N	T					
7. Brk Act #1 Fidelity Balanced [FBALX]	D	Dividend	N	T					
8. Brk Act #1 Fidelity MSCI Info [FTEC]	A	Dividend	K	T	Buy	11/25/16	K		
9. same as above					Buy (add'l)	12/05/16	K		
10. Brk Act #1 Fidelity NASDAQ [FNCMX]	A	Dividend	K	T	Buy	11/21/16	K		
11. Brk Act #1 Fidelity ishare TIPS ETF (Part VIII)	A	Dividend	K	T					
12. Brk Act #1 Fidelity MSCI Real Estate ETF	A	Dividend	K	T	Buy	12/05/16	K		
13. Brk Act #4 First Eagle Overseas Fund Class A	A	Dividend	J	T					
14. Brk Act #4 LM [SB] Appreciation Fd CL A (Part VIII)	B	Dividend	M	T					
15. Brk Act #4 LM [SB] Large Cap Grwth FD CL A	A	Dividend	M	T					
16. Brk Act #4 Morgan Stanley NY Muni Money Mkt Fd CL A	A	Interest	P1	T					
17. Brk Act #4 VFH	A	Dividend	J	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 = \$250,000,001 - \$500,000,000	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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18. Brk Act #4 NYC GO Ser A1 5/18[17]	C	Interest	M	T					
19. Brk Act #4 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	L	T					
20. Brk Act #4 LIPA NY Elec Sys Ser E 5/18	B	Interest			Redeemed	12/01/16	K	A	
21. Brk Act #4 NYS Thruway Au Gen Rev Ser H 5/19	B	Interest	L	T					
22. Brk Act #4 PR Muni Ser C 5.25/19	C	Interest	L	T					
23. Brk Act #4 NYC TFA Ser A1 5/19 [16]	B	Interest			Redeemed	08/01/16	K	A	
24. Brk Act #4 NYC GO Ser A 5/20[16]	C	Interest			Redeemed	08/01/16	L	A	
25. Brk Act #4 LIPA Ser E 5/20 [16]	B	Interest			Redeemed	12/01/16	K	A	
26. Brk Act #4 Lacey Township NJ BRD ED SCH 3.25/20[19]	B	Interest	K	T					
27. Brk Act #4 NY St Dorm 5/21[15]	C	Interest	M	T					
28. Brk Act #4 NJ High Ed 4.5/21	A	Interest	K	T	Redeemed (part)	06/13/16	J	A	
29. Brk Act #4 NY Gen Oblig BDS-G1 5.5/21	B	Interest	K	T					
30. Brk Act #4 NYS Pers Inc Tax 5/21[16]	B	Interest	L	T					
31. Brk Act #4 NJ Econ DVA Rev Sch Fac 4.5/22	B	Interest	K	T					
32. Brk Act #4 New York City G/O Ser A 5/22	B	Interest			Redeemed	08/01/16	K	A	
33. Brk Act #4 NJ Econ Dev Ref-EE 5.25/22	B	Interest	K	T					
34. Brk Act #4 NJ Econ Dev Ref-EE 5.25/22	A	Interest	K	T					

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35. Brk Act #4 NJ Trans 5.25/23	B	Interest	K	T					
36. Brk Act #4 NJ State Trans 5.25/23	C	Interest	L	T					
37. Brk Act #4 NY Gen Oblig BDS E 6/23	B	Interest	K	T					
38. Brk Act #4 NY Gen Oblig BDS E 6/23	A	Interest	K	T					
39. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	B	Interest	K	T					
40. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	A	Interest	K	T					
41. Brk Act #4 PR Elec Pwr Ref - PP 5/23	B	Interest	L	T					
42. Brk Act #4 NJ State Trans 5/24	C	Interest	L	T					
43. Brk Act #4 Illinois St. G/O 5/24	B	Interest	K	T					
44. Brk Act #4 Port Auth NY&NJ Con Ser153 4,5/25	B	Interest	L	T					
45. Brk Act #4 NJ EDA Sch Facs Ser EE 5.25/25	C	Interest	L	T					
46. Brk Act #4 NJ TFA Rev Ser B 5.25/25	C	Interest	L	T					
47. Brk Act #4 NJ Econ Dev Auth Sch Facs Const Ref-NN 5/26	B	Interest	L	T					
48. Brk Act #4 NJ Econ Dev Auth School 5.25/26	D	Interest	M	T					
49. Brk Act #4 NJ St. Trans Auth Ser - A 0/26	A	Interest	L	T					
50. Brk Act #4 NY NY 5/28	B	Interest	L	T					
51. Brk Act #4NJ St Trans TR FD Auth Sys Ser A 5.625/28	C	Interest	L	T					

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52. Brk Act #4 NY NY IDA Rev AGC 6.125/29	A	Interest	J	T					
53. Brk Act #4 NJ St. Trans TRFD Sys - A 5.125/29	C	Interest	L	T					
54. Brk Act #4 NJ TFARev Ser B 5.25/36	D	Interest	M	T					
55. Brk Act #4 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	K	T					
56. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest			Redeemed	08/01/16	L	A	
57. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest			Redeemed	08/15/16	K	A	
58. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
59. Brk Act #4 Port Au NY & NJ 4.5/25	C	Interest	L	T					
60. Brk Act #4 ADP	A	Dividend	J	T					
61. Brk Act #4 CDK	A	Dividend	J	T					
62. Brk Act #4 BR	A	Dividend	J	T					
63. Brk Act #4 BBY	A	Dividend	J	T					
64. Brk Act #4 IBM	A	Dividend	J	T					
65. Brk Act #4 KMB	A	Dividend	J	T					
66. Brk Act #4 HYH		None	J	T					
67. Brk Act #4 KSS	A	Dividend	J	T					
68. Brk Act #4 MDT	A	Dividend	J	T					

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69. Brk Act #4 MSFT	A	Dividend	J	T					
70. Brk Act #4 WMT	A	Dividend	J	T					
71. Brk Act #4 WBA	A	Dividend	J	T					
72. Brk Act #4 VIG	B	Dividend	L	T					
73. Brk Act #7 Bank Dep. Prog. Morgan Stanley Bank, N.A.	A	Interest	L	T					
74. Brk Act # 7 PWC	A	Dividend	K	T					
75. Brk Act #7 RIT	A	Distribution			Sold	06/10/16	J	A	RIT conversion to CREOX
76. Brk Act #7 CREOX	A	Dividend	J	T	Spinoff (from line 75)	06/10/16	J		RIT conversion to CREOX
77. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	B	Interest	K	T	Redeemed (part)	12/15/16	J	A	
78. Brk Act #9 Bank Dep Prog. Morgan Stanley Bank, N.A.	A	Interest	K	T					
79. Brk Act #9 EEM	A	Dividend	K	T					
80. Brk Act #9 PZI	A	Dividend	K	T					
81. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	K	T					
82. Brk Act #9 New York City MWF Au W &S Ser D O CPN 0/18	A	Interest	L	T					
83. Brk Act #9 NYS G/O BDS-A 0/19	A	Interest	K	T					
84. Brk Act #9 PR Comm H & T 0/20	A	Interest	K	T					
85. Brk Act #9 XLF	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 \$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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86. Brk Act #9 SPY	C	Dividend	M	T					
87. Brk Act #9 VIG	B	Dividend	L	T					
88. Brk Act #9 XLRE	A	Dividend	J	T	Spinoff (from line 85)	09/22/16	J		
89. Brk Act #10 Bank Dep Prog. Morgan Stanley Bank, N.A.	A	Interest	K	T					
90. Brk Act #10 NJ Turnpike Auth Ser - H 5/20	B	Interest	L	T					
91. Brk Act #10 NY St. Dorm Auth North Shore Rev A 5/21	B	Interest	L	T					
92. Brk Act #10 Mass St. Dev Fin Agy Rev H 5/21	B	Interest	L	T					
93. Brk Act #10 NJ Health Care Facs 5/21	B	Interest	L	T					
94. Brk Act #10 St. of Louisiana Unclmd Ppty 5/21	B	Interest	L	T					
95. Brk Act #10 Guam Govt Business Priv. Ser A 5/22	B	Interest	L	T					
96. Brk Act #10 Delaware Riv Jt Toll Bridge 5/22	B	Interest	L	T					
97. Brk Act #10 St. of Connecticut Health Facs 5/22	B	Interest	L	T					
98. Brk Act #10 Piedmont Mun Pwr Agy 5/23	B	Interest	L	T					
99. Brk Act #10 NJ Health Care Facs Fing Auth 5/23	B	Interest	L	T					
100. Brk Act #10 Monmouth Cnty NJ Impt Auth Lease 5/23	B	Interest	L	T					
101. Brk Act #10 Delaware Riv & Bay Auth Del Rev B 5/24	B	Interest	L	T					
102. Brk Act #10 Moorestown Twp NJ School Dist 5/24	B	Interest	L	T					

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103. Brk Act #10 NJ Turnpike Auth Rev Ser B 5/26	B	Interest	L	T					
104. Brk Act #10 Camden Cnty NJ Impt Auth 5/26	C	Interest	L	T	Buy	05/25/16	L		
105. Brk Act #10 Metropolitan Trans Auth 5/26	B	Interest	L	T					
106. Brk Act #10 Mercer Cnty NJ Impt Auth 5/27	B	Interest	L	T					
107. Brk Act #10 Port Auth of NY & NJ Consld Rev 194 5/27	B	Interest	L	T					
108. Brk Act #10 Hudson Cnty NJ G/O 4/27	B	Interest	L	T	Buy	04/29/16	L		
109. Brk Act #10 Freehold Twp NJ Brd Ed 5/29	B	Interest	L	T	Buy	01/22/16	L		
110. Brk Act #13 Fidelity Equity Inc[FEQIX]	E	Dividend	M	T					
111. Brk Act #13 Fidelity Inter Bond [FTHRX]	D	Interest	N	T					
112. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	J	T					
113. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	A	Interest	J	T					
114. Bank Act #14 Chase Accounts	A	Interest	K	T					
115. Brk Act #5 Fidelity Smart Account	A	Interest	J	T					
116. Bank Act#16 TD Bank			J	T					
117. Real Estate Long Island NY #1			M	R					

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 ~\$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 \$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

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Name of Person Reporting

Castel, P .Kevin

Date of Report

10/23/2017

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

Part VII, line 11, Brk Act #1 Ishares Tips Bonds ETF Buy on 1/4/13 at Value Code J; Buy (add'l) on 1/11/13 at Value Code J. Omitted from prior FDRs.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Castel, P .Kevin

Date of Report

10/23/2017

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/ P .Kevin Castel

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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Washington, D.C. 20544