

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) Castel, P. Kevin	2. Court or Organization S.D.N.Y.	3. Date of Report 07/23/2013
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 01/01/2012 to 12/31/2012
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.	

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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	NYU School of Law-teaching	\$26,995.00
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. American Law Institute	9/20/12	Philadelphia, PA	Meeting	Transportation (reimbursed) & food (furnished)
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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 13

Name of Person Reporting

Castel, P. Kevin

Date of Report

07/23/2013

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. Brk Act #1 Fidelity Capital Apprec'n Mutual Fd [FDCAX]	D	Dividend	N	T					
2. Brk Act #1 Fidelity Cash Reserves [FDRXX]	A	Dividend	O	T					
3. Brk Act #1 Fidelity Asset Manager Mutual Fd [FASGX]	C	Dividend	M	T					
4. Brk Act #1 Fidelity Aggressive Growth Mutual Fd [FAMRX]	C	Dividend	M	T					
5. Brk Act #1 Fidelity Balanced [FBALX]	C	Dividend	M	T					
6. Brk Act #4 First Eagle Overseas Fund Class A	A	Dividend	J	T					
7. Brk Act #4 LM [SB] Appreciation Fd CL A(Part VIII)	B	Dividend	M	T					
8. Brk Act #4 LM [SB] Large Cap Grwth FD CL A		None	M	T					
9. Brk Act #4 Morgan Stanley NY Muni Money Mkt Fd CL A	A	Interest	P1	T					
10. Brk Act #4 VFH	A	Dividend	J	T					
11. Brk Act #4 NY NY ETM Ser J 4/12	A	Interest			Redeemed	05/15/12	J	A	
12. Brk Act #4 NY NY Ser J 4/12	B	Interest			Redeemed	05/15/12	K	A	
13. Brk Act #4 NY NY RFDG Ser B-FGIC TCRS 5.75/13	B	Interest	J	T	Redeemed (part)	07/27/12	K	A	
14. Brk Act #4 NYS Dorm AU Revs Third Gen Res 5.25/13	B	Interest			Redeemed	11/19/12	K	A	
15. Brk Act #4 NYC GO Ser J 4/13	B	Interest	L	T					
16. Brk Act #4 Buffalo NY Ser B 5.375/13 [12]	B	Interest	K	T					
17. Brk Act #4 Nassau Cty IFA Ser A 5/13	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 = \$250,000.01 - \$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 13

Name of Person Reporting

Castel, P. Kevin

Date of Report

07/23/2013

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 I (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. Brk Act #4 NYC GO Ser A 4/13	B	Interest	L	T					
19. Brk Act #4 Camden NY Cent Sch DIST SER A 4.5/14	B	Interest			Redeemed	03/15/12	K	A	
20. Brk Act #4 NYS DORM AU Iona Coll 4.3/14	B	Interest			Redeemed	09/06/12	K	A	
21. Brk Act #4 NYC Ser A G/O 4.3/14	B	Interest	K	T	Redeemed (part)	08/01/12	J	A	
22. Brk Act #4 NYC GO Ser I 4.5/14[13]	A	Interest	K	T					
23. Brk Act #4 West Seneca Cent Sch 4.125/14	B	Interest	L	T					
24. Brk Act #4 NYC GO Ser G 4/14	B	Interest	L	T					
25. Brk Act #4 Buffalo NY Ser C 4.7/15 [12]	B	Interest			Redeemed	11/15/12	K	A	
26. Brk Act #4 NYC REF Ser B G/O 5.75/15	C	Interest			Redeemed	08/21/12	K	A	
27. Brk Act #4 LI Pwr Au[LIPA] 4/15	A	Interest	K	T					
28. Brk Act#4 NYC Trans Fin 4/15	B	Interest	L	T					
29. Brk Act #4 NYS Dorm Pres 4.2/15 [14]	B	Interest	K	T					
30. Brk Act #4 NYC Ser C 5.25/15 [14]	A	Interest	J	T					
31. Brk Act #4 NYC Health & Hosp 4.55/16 [12]	C	Interest			Redeemed	02/15/12	L	A	
32. Brk Act #4 NYS Dorm Au St Johns U 5/16	A	Interest			Redeemed	09/10/12	K	A	
33. Brk Act #4 NY NY Ser J 5.25/16	B	Interest	L	T					
34. Brk Act #4 NYS Env Fac Corp St Clean Wtr 5/17	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 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 13

Name of Person Reporting

Castel, P. Kevin

Date of Report

07/23/2013

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. Brk Act #4 Ventor City NJ Ser C 4/17	A	Interest	K	T					
36. Brk Act #4 NYC Ser G G/O 5/17	B	Interest			Redeemed	08/01/12	K	A	
37. Brk Act #4 NYC GO Ser O 5/17 [15]	B	Interest	L	T					
38. Brk Act #4 NYS Thru H & B 5/18[15]	B	Interest	L	T					
39. Brk Act #4 NYC GO Ser A1 5/18[17]	C	Interest	M	T					
40. Brk Act #4 NY NY RFDG Ser I 5/18 [14]	B	Interest	L	T					
41. Brk Act #4 NYC TFA FUT TAX FGIC SECD Ser E 5.25/18 [13]	C	Interest	L	T					
42. Brk Act #4 New York NY City HSG Dev Corp MultiFam 5.35/18	C	Interest	L	T					
43. Brk Act #4 LIPA NY Elec Sys Ser E 5/18	B	Interest	L	T					
44. Brk Act #4 NYS Thruway Au Gen Rev Ser H 5/19	B	Interest	L	T					
45. Brk Act #4 NJ Econ Dev Ser O 5/19	C	Interest	L	T					
46. Brk Act #4 PR Muni Ser C 5.25/19	C	Interest	L	T					
47. Brk Act #4 Buffalo Ser C 5/19 [12]	B	Interest			Redeemed	11/15/12	K	A	
48. Brk Act #4 MTA Ser A 5.5/19[12]	D	Interest			Redeemed	07/01/12	M	A	
49. Brk Act #4 NYC TFA Ser A1 5/19 [16]	B	Interest	L	T					
50. Brk Act #4 PR Sales Tax 4.625/19	C	Interest	M	T					
51. Brk Act #4 NJ Trans 5/19 [15] (Part VIII)	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 7 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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. Brk Act #4 NYS Env FACS Corp St Clean WTR & Drinking 5.25/20	D	Interest			Redeemed	08/13/12	M	A	
53. Brk Act #4 Metro T SPTN Au NY TSPN REV SER A A5/20	B	Interest	L	T					
54. Brk Act #4 NYC GO Ser A 5/20[16]	C	Interest	M	T					
55. Brk Act #4 LIPA Ser E 5/20 [16]	B	Interest	L	T					
56. Brk Act #4 Lacey Township NJ BRD ED SCH 3.25/20[19]	B	Interest	K	T	Buy	02/6/12	K		
57. Brk Act #4 NJ ST TFA Ser D 5/20[15]	B	Interest	L	T					
58. Brk Act #4 NY St Dorm 5/21[15]	C	Interest	M	T					
59. Brk Act #4 NJ High Ed 4.5/21	B	Interest	L	T					
60. Brk Act #4 NY Gen Oblig BDS-G1 5.5/21	B	Interest	K	T					
61. Brk Act #4 NYC Trans F/A Rev [13] 5.25/21	B	Interest	K	T					
62. Brk Act #4 NYS Pers Inc Tax 5/21[16]	B	Interest	L	T					
63. Brk Act #4 New York NY Ser A CIFG TCRS 5/21	C	Interest	L	T					
64. Brk Act #4 Metro Tras Au NY Rev RFDG Ser A 5.125/21	C	Interest			Redeemed	11/15/12	K	A	
65. Brk Act #4 NJ Econ DVA Rev Sch Fac 4.5/22	B	Interest	K	T					
66. Brk Act #4 New York City G/O Ser A 5/22	B	Interest	L	T					
67. Brk Act #4 Monroe Cnty IDA 5/22	B	Interest	K	T					
68. Brk Act #4 Port Auth NY NJ Cons Rev 5/22[15]	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 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 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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)
69. Brk Act #4 NJ Trans 5.25/23	B	Interest	K	T					
70. Brk Act #4 NJ State Trans 5.25/23	C	Interest	L	T					
71. Brk Act #4 NJ Economic Dev Au Sch Constr Ser O 5.25/23	C	Interest	L	T					
72. Brk Act #4 PR Elec Pwr Rev RFDG Ser PP 5/23	B	Interest	L	T					
73. Brk Act #4 NY Gen Oblig BDS E 6/23	C	Interest	L	T					
74. Brk Act #4 Triborough Bridge & T Au Ser D 5/23	B	Interest	L	T					
75. Brk Act #4 NJ Econ Dev 5.25/24 [15] (Part VIII)	B	Interest	K	T					
76. Brk Act #4 NJ State Trans 5/24	B	Int./Div.	L	T					
77. Brk Act #4 New York St Dorm Au Revs Hosp FHA Insd A 6.45/24	C	Interest			Redeemed	11/23/12	L	A	
78. Brk Act #4 Triborough B & T AU 5/24	B	Interest	L	T					
79. Brk Act #4 PR Elec 4.625/25	A	Interest	K	T					
80. Brk Act #4 NYS Thwy Au 2d HWY & BDG 5/25 (Part VIII)	C	Interest	L	T					
81. Brk Act #4 NYC MWA Wtr & Swr Rev Ser C 5/25 (Part VIII)	C	Interest	M	T					
82. Brk Act #4 NY NY IDA Rev AGC 6.125/29	A	Interest	J	T					
83. Brk Act #4 Port Auth NY NJ 140th Ser 5/29[15]	B	Interest	L	T	Buy	05/15/12	L		
84. Brk Act #4 Ishares TR Dow Jones Select Div Index Fund	B	Dividend	K	T					
85. Brk Act #4 XLF	A	Dividend			Sold	12/21/12	K	A	

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 9 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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)

86. Brk Act #4 MTA FRDG Ser A 4.3/13	B	Interest			Redeemed	07/01/12	K	A	
87. Brk Act #4 NYS Dorm Columbia U. 5.25/13	B	Interest			Redeemed	07/01/12	K	A	
88. Brk Act #4 New York City G/O Ser E 5/14	B	Interest	L	T					
89. Brk Act #4 New York G/O BD B/E Ser J 4/16	C	Interest	M	T					
90. Brk Act #4 NYC G/O Ser E 5/16	B	Interest	L	T					
91. Brk Act #4 NYC G/O Ser B 5.25/18	C	Interest	L	T					
92. Brk Act #4 New York NY RFDG Ser H 5/16	B	Interest	L	T					
93. Brk Act #4 Port Auth 125th Ser 5/18	B	Interest			Redeemed	07/16/12	K	A	
94. Brk Act # 4 MTA 4.5/18	B	Interest			Redeemed	11/15/12	K	A	
95. Brk Act #4 NYS Dorm Au Rev Kaleida Hlth 4.25/18	B	Interest	L	T					
96. Brk Act #4 New York City G/O Ser A Subser A-1 5/19	C	Interest	M	T					
97. Brk Act #4 NYS Twy Rev A 5/20[15]	B	Interest	L	T					
98. Brk Act #4 Port Au NY & NJ 4.5/25	C	Interest	L	T					
99. Brk Act #4 ADP	A	Dividend	J	T					
100. Brk Act #4 BR	A	Dividend	J	T					
101. Brk Act #4 BBY	A	Dividend	J	T					
102. Brk Act #4 IBM	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 = \$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 10 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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)
103. Brk Act #4 KMB	A	Dividend	J	T					
104. Brk Act #4 KSS	A	Dividend	J	T					
105. Brk Act #4 MDT	A	Dividend	J	T					
106. Brk Act #4 MSFT	A	Dividend	J	T					
107. Brk Act #4 WMT	A	Dividend	J	T					
108. Brk Act #4 WAG	A	Dividend	J	T					
109. Brk Act #4 VIG	B	Dividend	L	T					
110. Brk Act #7 Citibank NA Bank Dep Program	A	Interest	K	T					
111. Brk Act #7 PWC	A	Dividend	J	T					
112. Brk Act #7 RIT	A	Dividend	K	T					
113. Brk Act #7 NYS Dev Corp Inc Tx 6.5/18	C	Interest	L	T					
114. Brk Act #9 SB (Western Asset)MUNI NY MNY MKT PORT CL A	A	Interest	M	T					
115. Brk Act #9 EEM	A	Dividend	K	T					
116. Brk Act #9 PZI	A	Dividend	J	T					
117. Brk Act #9 MFS Intl New Disc Fund C [MIDCX]	A	Dividend	K	T					
118. Brk Act #9 New York City MWF Au W &S Ser D O CPN 0/18	A	Interest	L	T					
119. Brk Act #9 NYS G/O BDS-A 0/19	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Castel, P. Kevin

Date of Report

07/23/2013

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)
120. Brk Act #9 PR Comm H & T 0/20	A	Interest	K	T					
121. Brk Act #9 XLF	A	Dividend	J	T					
122. Brk Act #9 LIPA NY PWR 5.67/15	A	Dividend	K	T					
123. Brk Act #9 SPY	B	Dividend	L	T					
124. Brk Act #9 VIG	B	Dividend	L	T					
125. Brk Act #12[PHX Oakhurst Strat Alloc FD A]VRTS Balance Fd A	A	Dividend	J	T					
126. Brk Act #12 PHX Oakhurst Inc&Growth FD A] VRTS Tactical Fd A	A	Dividend	J	T					
127. Brk Act #13 Fidelity Equity Inc[FEQIX]	E	Dividend	M	T					
128. Brk Act #13 Fidelity Inter Bond [FTHR]	D	Interest	N	T					
129. Brk Act #13 Fidelity Capital Apprec [FDCAX]	C	Dividend	J	T					
130. Brk Act #13 Fidelity Retire Mmkt[Cash Reserves] [FCRXX]	A	Interest	J	T					
131. Bank Act #14 Chase Accounts	A	Interest	K	T					
132. Brk Act #5 Fidelity Smart Account	A	Interest	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 = \$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 12 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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

Part VII, line 15 of 2011 FDR. Brk Act#4 NYNY Ser A Prefund 5.25/11 was inadvertently listed as an asset. It was a full redemption on 11/01/11 at Value Code J and Gain Code A.

Part VII, line 57 of 2012 FDR. Brk Act #4. NJ ST TFA Ser D 5/20[15] was inadvertently omitted from the 2011 FDR. It was a buy on 02/24/11 at Value Code L.

Part VII, line 58 of 2012 FDR. Brk Act #4. NY ST Dorm 5/21[15]] was inadvertently omitted from the 2011 FDR. It was a buy on 1/31/11 at Value Code M.

Part VII, line 68 of 2012 FDR. Brk Act #4. Port Auth NY NJ Cons Rev 5/22[15] was inadvertently omitted from the 2010 and 2011 FDRs. It was a buy on 12/06/10 at Value Code K.

Part VII, line 110 of 2012 FDR. Brk Act #4. VIG was inadvertently omitted from the 2011 FDR. It was a buy on 12/20/11 at Value Code L.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Castel, P .Kevin

Date of Report

07/23/2013

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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544