

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 6/2/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. District Court 40 Centre 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.		
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. Property #1, Suffolk County, NY		None			Sold	04/15/13	M	E	
2. Property #2, Suffolk County, NY		None			Sold	04/15/13	M	E	
3. Aztex Limited Partnership (real estate)	A	Distribution			Closed	12/31/13	J		
4. US Treasury Note Inflation Indexed	A	Interest			Sold	12/04/13	M		
5. Apple Inc	A	Dividend	L	T					
6. Apple Inc	A	Dividend			Buy (add'l)	04/25/13	J		
7. Apple Inc	A	Dividend			Sold (part)	04/12/13	J		
8. Apple Inc	A	Dividend			Sold	04/23/13	J		
9. Apple Inc	A	Dividend			Sold (part)	01/17/13	K		
10. Apple Inc	A	Dividend			Sold (part)	01/17/13	K		
11. Apple Inc	A	Dividend			Sold (part)	01/17/13	K		
12. Liberty Media Corp Liberty Cap Cl A	A	Dividend	K	T					
13. Sachem Cent School Dist NY Holbrook Ser B MBIA	A	Interest			Sold	09/20/13	K		
14. Phelps Clifton Springs NY	A	Interest			Sold	06/17/13	K		
15. NYS Dorm Auth Revs Sloan Kettering Center	A	Interest			Sold	07/01/13	K		
16. Puerto Rico Sales Tax Fing Corp Sales Tax Rev First	B	Interest			Sold	08/08/13	L		
17. LM CBA Equity Income Builder Fund CL A	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. Morgan Stanley Money Market Fund	A	Interest	J	T					
19. US Treasury Inflation Index NTS CPI Non Seasonally	A	Interest	M	T					
20. SPDR S&P 500 ETF Trust		None	K	T					
21. Liberty Media Corp Liberty Cap com Ser A		None	K	T					
22. Liberty Media Corp Liberty Cap Com Ser A		None	K	T					
23. NY NYC General Obligation Ser E	A	Interest			Sold	12/09/13	M		
24. SPDR Gold Trust		None	J	T					
25. Metropolitan Transportation Auth NY Trans Rev Ref D	B	Interest			Sold	12/04/13	M		
26. Vanguard 500 Index Trust	B	Dividend	M	T					
27. Vanguard Total Intl Index	A	Dividend	L	T					
28. Vanguard Total Stock Index	B	Dividend	L	T					
29. Icon Energy Fund	A	Dividend			Sold	04/08/13	J		
30. Amer Funds Fundamental F	A	Dividend			Sold	05/28/13	J	A	
31. Spartan 500 Index Fid Adv	B	Dividend			Sold	04/09/13	K		
32. New Perspective Fund	A	Dividend			Sold	04/09/13	K	D	
33. Puerto Rico Pub Bldgs Auth Rev	C	Interest			Sold	09/18/13	L	A	
34. Fidelity GNMA Fund	B	Dividend	J	T	Sold (part)	04/09/13	K		

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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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				
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35. Fidelity GNMA Fund	B	Dividend			Sold (part)	02/22/13	K		
36. Fairholme Fund (X)	B	Dividend	K	T					
37. Ishares Russell 2000 Index Fund	B	Dividend	K	T					
38. Ishares Russell 2000 Index	B	Dividend	K	T	Buy (add'l)	04/08/13	K		
39. Ishares Russell 2000 ndex	B	Dividend	J	T	Buy (add'l)	04/08/13	J		
40. Ishares Russell 2000 Index	B	Dividend	L	T	Buy (add'l)	04/29/13	L		
41. Ishares Russell 2000 Index	B	Dividend	K	T	Buy (add'l)	05/08/13	K		
42. UTS SPDR Trust Ser 1	B	Dividend	L	T					
43. UTS SPDR Trust Ser 1	B	Dividend			Buy (add'l)	04/29/13	L		
44. UTS SPDR Trust Ser 1	A	Dividend			Buy (add'l)	05/08/13	K		
45. UTS SPDR Trust Ser 1	A	Dividend			Buy (add'l)	04/08/13	K		
46. JP Morgan Emerging Markets Equity Fund CI A	B	Dividend			Sold	08/16/13	K		
47. JP Morgan Emerging Markets Equity Fund CI A	B	Dividend			Sold	04/08/13	K		
48. NYS Dorm Auth Rev North Shore LI Jewish	C	Interest			Sold	05/01/13	L		
49. Puerto Rico Pub Bldgs Auth Rev	D	Interest			Sold	09/20/13	M	A	
50. Omaha Neb Omaha Convention Center	B	Interest	K	T					
51. New York NY Rfdg Ser F	A	Interest			Sold	01/15/13	J		

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52. New York NY Ser F	A	Interest			Sold	01/15/13	J		
53. New York NY Ser J U/T B/E	D	Interest			Sold	06/03/13	L		
54. New York NY Ser J B/E U/T	A	Interest			Sold	06/03/13	J		
55. Puerto Rico Elec Pwr Auth Prf	D	Interest			Sold	07/01/13	M		
56. Puerto Rico Elec Pwr Auth	D	Interest			Sold	07/01/13	L		
57. Puerto Rico Commonwealth Hwy & Trans Auth Trans Rev	C	Interest			Sold	09/20/13	L		
58. Westchester NY TOB Asset Secrtztn CRP	D	Interest			Sold	10/29/13	M	D	
59. TSASC Inc NY TOB Settlement Asset	C	Interest	L	T					
60. NYS D/A Auth Revs Sadly Pref Mental Hlth Fac	D	Interest			Sold	09/18/13	M	A	
61. Metro Trans Au NY Dedicated Tax FD FSA	D	Interest			Sold	09/18/13	M	A	
62. New York St Twy Au Second Genl Hwy & Brdg	C	Interest			Sold	10/29/13	L	A	
63. New York St Urban Dev Corp Rev Personal Income Tax	B	Interest	M	T					
64. New York St Dorm Auth Ct FACS Lse Rev (NYC Issue)	C	Interest			Sold	03/15/13	L		
65. Metropolitan Trans Auth NY Dedicated Tax FD A Revs FGIC	C	Interest	M	T					
66. TIAA Cref	A	Dividend	L	T					
67. T-C Infl Lukd Bond Rtmt	A	Distribution	K	T					
68. T-C Lifecycle 2020 Rtmt		None	K	T					

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69. T-C Lifecycle Rtmt Inc Rtmt	A	Distribution	K	T					
70. Property Indian River Cnty, FL (X)	D	Rent	L	W					
71. Lucia Mar Uni Sch Dist Calif Election 2004 Ser A FGIC	B	Interest			Sold	10/17/13	K	A	
72. Oregon St Dept Transhn Hwy User Tax Rev Ser A	B	Interest			Sold	10/17/13	K	A	
73. Georgia St B B/E UT DD	C	Interest	L	T					
74. Oregon St Dept Transhn Hwy User Tax Rev Ser A	B	Interest			Sold	10/29/13	K	A	
75. Scottsdale Ariz Mun PPTY Corp Excise Tax Rev Pref B/E	B	Interest	L	T					
76. Utah Tra Auth Sales Tax Rev Ser B FSA	C	Interest			Sold	10/29/13	L		
77. China Mobile LTD Spn ADR	A	Dividend	J	T					
78. SPDR Gold Trust		None	K	T					
79. Ishares TR Dow Jones US	A	Dividend	J	T					
80. Ishares TR Dow Jones US	A	Dividend			Buy (add'l)	04/08/13	K		
81. Union Pacific corp	A	Dividend	J	T					
82. Rydex ETF TR Index Fund	A	Dividend	J	T					
83. Vanguard Small Cap	A	Dividend			Sold	03/14/13	J		
84. Deere Co	A	Dividend	J	T					
85. New Jersey St Genl Obligation	A	Interest	K	T					

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86. L I PWR Auth E BE 5000	B	Interest			Buy	06/05/13	M		
87.					Sold	10/28/13	M		
88. Metropolitan T BE 3000 18NV15	B	Interest			Buy	04/26/13	L		
89.					Sold	12/09/13	L		
90. Metroplitan T BE 5000 29NV 15	C	Interest			Buy	10/28/13	M		
91.					Sold	12/06/13	M		
92. Metropolitan T BE 5000 30NV15	B	Interest			Buy	09/18/13	L		
93.					Sold	12/09/13	L		
94. Monroeville PA BE 5000	B	Interest			Buy	09/19/13	L		
95.					Sold	12/10/13	L		
96. Nassau Cnty N BE 5000	B	Interest			Buy	09/20/13	L		
97.					Sold	12/09/13	L		
98. New York ST DO BE 4500	C	Interest			Buy	04/26/13	M		
99.					Sold	12/04/13	M		
100. NYC GO F-1 BE 5000 25MH01	B	Interest			Buy	07/12/13	M		
101.					Sold	12/06/13	M		
102. NYC GO SER I BE 5000 25 AU01	C	Interest			Buy	09/18/13	M		

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103.					Sold	12/04/13	M		
104. NYC GO E BE 5000 24 AU01	B	Interest			Buy	12/05/13	M		
105.					Sold	12/06/13	M		
106. NYS Dorm AU A BE 5000 27JL01	B	Interest			Buy	10/29/13	M		
107.					Sold	12/04/13	M		
108. Puerto Rico ST BE 4000 16JL01	B	Interest			Buy	04/17/13	M		
109.					Sold	08/08/13	M		
110. New York State Dorm Auth Pers Inc Tax Rev 2/15/2022	B	Interest	L	T	Buy	08/14/13	L		
111. NYS Dorm Auth Pers Inc Tax Rev 3/15/2021	C	Interest	L	T	Buy	07/15/13	L		
112. NYS Dorm Auth Pers Inc Tax Rev 3/15/2021	C	Interest			Buy (add'l)	08/14/13	L		
113. NYC GO Subseries A-1 10/1/2021	A	Interest	L	T	Buy	08/09/13	L		
114. Spartan Total Market Index	A	Interest	K	T	Buy	04/09/13	K		
115.					Buy (add'l)	04/10/13	J		
116. Spartan Small Cap Index	A	Interest	K	T	Buy	04/09/13	K		
117. Costco Wholesale Crp	A	Dividend	K	T	Buy	04/08/13	K		
118. Goldman Sachs Group Inc	A	Dividend	K	T	Buy	03/15/13	K		
119. Vanguard S and P Mid Cap 400	A	Dividend	J	T	Buy	03/14/13	J		

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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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. Liberty Media Corporation.com	A	Dividend	J	T	Buy	02/26/13	J		
121. NYC GO Ser E 8/01/2019	B	Interest	L	T	Buy	04/23/13	L		
122. Netflix	A	Dividend	J	T	Buy	10/29/13	J		
123. Liberty Media Corp Ser A		None	K	T	Buy	05/08/13	K		
124.					Buy (add'l)	08/16/13	K		
125. NYC GO Ser F 11/15/2018	B	Interest	L	T	Buy	06/10/13	L		
126. Marlboro NY Central	A	Interest	L	T	Buy	07/15/13	L		
127. NYS Dorm Auth Ser A 7/1/2021	A	Interest	L	T	Buy	07/15/13	L		
128. NYC GO Ser D 8/1/2024	A	Interest	M	T	Buy	10/17/13	M		
129. NYC Trans Fin Auth Future Tax Rev F	A	Interest	L	T	Buy	11/01/13	L		
130. Triborough Bridge and Tunnel Auth Ref A	A	Interest	M	T	Buy	12/10/13	M		
131. NYC GO Ser B 8/1/2022	B	Interest	M	T	Buy	12/10/13	M		
132. United States Treasury Bill	B	Interest	M	T	Buy	12/09/13	M		
133. Triborough Bridge and Tunnel Auth Ref B	A	Interest	M	T	Buy	12/12/13	M		
134. NYC Transit Fin Auth Future Ser C	A	Interest	M	T	Buy	12/12/13	M		
135. NYC GO Ser D 8/1/2029	A	Interest	M	T	Buy	12/12/13	M		
136. NYC GO Ser F 03/01/2025	B	Interest	M	T	Buy	12/12/13	M		

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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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)
137. NYC GO Ser I 8/1/2019	B	Interest	L	T	Buy	12/12/13	L		
138. NYC GO Ser E 8/1/2018	B	Interest	M	T	Buy	12/12/13	M		
139. NYS Dorm Auth Mem Sloan Kettering 7/1/2022	B	Interest	M	T	Buy	12/13/13	M		
140. NYC GO Ser C-1	B	Interest	M	T	Buy	09/23/13	M		
141. Liberty Spingo Inc Cl A	A	Dividend	J	T	Buy	01/23/13	J		
142.					Buy (add'l)	05/01/13	J		
143. Invisa Inc	A	Dividend	J	T	Buy	04/26/13	J		
144.					Sold (part)	08/16/13	J		
145. Stratasys LTD	A	Dividend	J	T	Buy	04/26/13	J		
146. Guggenheim S&P 500 Equal Weight	A	Dividend	K	T	Buy	04/15/13	K		
147. Vanguard S&P 500 ETF	A	Dividend	K	T	Buy	09/17/13	K		
148.									
149.									
150.									
151.									

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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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
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Washington, D.C. 20544