AO-10
Rev. 1/2004

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Berman, Richard M	2. Court or Organization U.S. District Court - S.D.N.Y.	3. Date of Report 6/9/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5. Report Type (check appropriate type) ○ Nomination, Date ○ Initial ◉ Annual ○ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address U.S. District Court 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 filing instructions)

☑ NONE - (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1.	

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FINANCIAL DISCLOSURE OFFICE

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

☑ NONE - (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	

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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.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
1.		

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.)

DATE	SOURCE AND TYPE
1.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☑ NONE - (No such reportable reimbursements.)

SOURCE	DESCRIPTION
1.	

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☑ NONE - (No such reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.			

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☐ NONE - (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Citicorp	Mortgage on house Warren, CT	J

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VII. INVESTMENTS and TRUSTS – income, value, transcations (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

	A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g. div. rent. or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure (2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
	☐ NONE (No reportable income, assets, or transactions)									
1.	Rental Property, Warren, CT	C	Rent	O	W	Rental				
2.	Rental Property, East Hampton, NY (House & Cottage)	D	Rent	N	W	Rental				
3.	Rental Property, East Hampton, NY	C	Rent	K	W	Rental				
4.	Limited Partnership #1, Aztex (real estate)	A	Distribution	J	W					
5.	Limited Partnership #2, Balkhouse (real estate)		None	J	W					See Note 1) in Part VIII
6.	Limited Partnership #3, Chestnut (real estate)		None	J	W					
7.	Limited Partnership #4, 119 Development (real estate)		None	J	W					
8.	Limited Partnership #5, Laurel (real estate)		None	J	W					
9.	Limited Partnership #6, Franklin (real estate)	A	Distribution	J	W					
10.	Limited Partnership #7, Corinthian		None	J	W					See Note 1) in Part VIII
11.	Limited Partnership #8, Corinthian II (oil & gas)		None	J	W					See Note 1) in Part VIII
12.	Limited Partnership #9, Corum (oil & gas)		None	J	W					See Note 1) in Part VIII
13.	Janus Fund (deferred compensation)		None	J	T					
14.	T. Rowe Price Equity Income (deferred compensation)	A	Dividend	K	T					
15.	Vanguard (Windsor, 500 Index)	B	Dividend	L	T					
16.	Vanguard (Strategic Equity, U.S. Growth)	A	Dividend	L	T	Partial Sale	12/11	K		
17.	U.S. Treasury Notes	E	Interest	P1	T	Buy	09/22	N		

1. Income/Gain Codes: (See Columns B1 and D4)	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
	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: (See Columns C1 and D3)	J = $15,000 or less	K = $15,001-$50,000	L = $50,001-$100,000	M = $100,001-$250,000	
	N = $250,000-$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 (See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
	U = Book Value	V = Other	W = Estimated		

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	A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
							If not exempt from disclosure			
	Place "(X)" after each asset exempt from prior disclosure	(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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18.	NYC Tigers Municipal Bond (Water)	A	Interest	J	T					
19.	NYC GO Municipal Bond	A	Interest	K	W	Partial Sale	10/01	J	A	
20.	NYC Municipal Bond (Water)	A	Interest	K	T					
21.	John Nuveen Municipal Bond Fund (Select)	B	Distribution	K	T					
22.	Blackrock Municipal Bond Fund	B	Distribution	K	T					
23.	Muniyield Municipal Bond Fund	B	Dividend	K	T					
24.	NYC Metropolitan Transit Municipal Bond (Series D)	C	Interest	L	T					
25.	Comcast A Common Stock		None	K	T					
26.	Time Warner Common Stock (AOL)		None	J	T					
27.	AT&T	A	Dividend	K	T	Partial sale	04/25	J	A	
28.	Cablevision Systems Common Stock		None	L	T	Partial sale	04/25	K	A	
29.	Alfacell Common Stock		None			Sale	02/28	J	A	
30.	G.E. Common Stock	A	Dividend	J	T	Partial sale	04/25	J	A	
31.	Liberty Media Common Stock		None	K	T	Partial sale	11/18	J	A	
32.	Liberty Satellite Common Stock (TCI)		None			Sale	11/18	J	A	
33.	Lucent Technologies Common Stock		None	J	T	Partial sale	04/25	J	A	
34.	Microsoft Common Stock		None	J	T					
35.	Wesco Common Stock		None	J	T					

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36. American Express Common Stock		None	J	T					
37. Medizone Common Stock		None			Sale	02/28	J	A	
38. Compaq Computer Common Stock		None			Sale	06/03	J	A	See Note 2) in Part VIII
39. Teleport Common Stock		None			Exchange	07/21	J	A	See Note 3) in Part VIII
40. AT&T Exchange Common Stock (EIF)		None	K	T					
41. Ebay Inc. Common Stock		None	K	T					
42. Cisco Systems Common Stock		None			Sale	04/25	J	A	
43. Bell Atlantic Common Stock (Verizon)	A	Dividend	J	T					
44. Mobil Common Stock (Exxon)	A	Dividend	J	T					
45. Merrill Lynch Fund	B	Dividend	J	T					
46. Mellon Corp. Notes		None			Redeemed	06/01	J	A	See Note 4) in Part VIII
47. CMA Tax Exempt Fund	C	Interest	N	T					
48. John Nuveen Common Stock Fund (Class A)	B	Dividend	K	T					
49. Scarsdale, NY Municipal Bond	A	Interest	K	W					
50. Westchester, NY Municipal Bond (Westchester County)	C	Interest	L	W					
51. Rye City, NY Municipal Bond	A	Interest	L	W					
52. MAC Municipal Bond	C	Interest	L	W	Partial Sale	07/01	K	A	
53. Avaya Common Stock		None			Sale	02/28	J	A	

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54. Nokia Common Stock	A	Dividend			Sale	04/25	J	A	
55. Yahoo Common Stock		None			Sale	04/25	J	A	
56. NYS Mtg Agency (& Dormitory)	D	Interest	M	W	Partial Sale	07/09	K	A	
57. NYC (NHA) Municipal Bond (Port Authority of NY and NJ)		None	L	W					
58. NYS Power Authority	C	Interest	L	W	Partial Sale	01/01	J	A	
59. AT&T Wireless		None	J	W					
60. Agere Systems		None			Sale	02/28	J	A	See Note 5) in Part VIII
61. New York, NY Municipal Bond (Series E)	A	Interest			Sale	05/15	J	A	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

1) Any interest in Limited Partnerships #2, 7, 8 & 9 were written off as inactive and valueless by my accountant prior to 2001 and were inadvertently included in prior reports.

2) The sale occurred on 06/03/1999 and Compaq Common Stock has inadvertently been listed in subsequent reports.

3) The exchange occurred on 07/21/1998 for (94) AT&T shares reflected in part of VII, line 27 and Teleport Common Stock has inadvertently been listed in subsequent reports.

4) The redemption occurred on 06/01/2001 and Mellon Corp. Notes were inadvertently listed in subsequent reports.

5) Acquired as spinoff on 01/02/2001.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature [redacted] Date June 14, 2004

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