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Rev. 1/2007

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) Hellerstein, Alvin K	**2. Court or Organization** U.S. District Court - NY-South	**3. Date of Report** 07/03/2007
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** 01/01/2006 to 12/31/2006
7. Chambers or Office Address United States District Court 500 Pearl Street - Room 1050 New York, New York 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.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board Member	Columbia Law School Association
2.	Board Member	Jewish Community Relations Council
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1. 1/1/96	Stroock & Stroock & Lavan LLP, former law firm (Pension Plan for retired partners)(No Control)
2. 1/1/89	Stroock & Stroock & Lavan Retirement Plan (management of firm's IRA and 401K plans)(No Control)
3. 1/1/84	Stroock & Stroock & Lavan Investment Partnership (No Control)

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Hellerstein, Alvin K	07/03/2007

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

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2006	Pension from former law firm	$ 440,793
2.		
3.		
4.		
5.		

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.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.*

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

☐ NONE *(No reportable reimbursements.)*

SOURCE	DESCRIPTION
1. Federal Bar Council	2/7-2/9 - St. Thomas, VI - Bench & Bar Conference (Transportation, Meals and Hotel)
2. ABA	12/1-12/3 - Chicago, IL - Rule of Law Symposium (Transportation, Meals and Hotel)
3.	
4.	
5.	

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

[X] NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*

[ ] NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	American Express, Visa	Credit cards	J
2.	Chase Mortgage Corp.	Mortgage, condominiurn	M
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS *– income, value, transactions (Includes those of the 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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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, 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)
1. New York City Condominium	F	Rent	O	W					
2. J P Morgan/Chase	B	Interest	M	T					
3. Franklin Templeton Mut. Qual. Fund (IRA)	D	Dividend	M	T					
4. Dreyfus Money Market Funds [redacted]	A	Interest	K	T					
5. Stroock & Stroock & Lavan Retirement Plan (See fn. 1)			P1	T					
6. - I Shares Lehman Agg. (See fn. 2)									
7. - Bernstein Equity Fund (See fn. 2)									
8. - Baird Inv. Mgmt. (See fn. 2)									
9. - Turner Inv. Mgmt. (See fn. 2)									
10. - C.S. McKee, L.P. (See fn. 2)									
11. - Brandes Inv. Part. Fund (See fn. 2)									
12. - Private Capital Mgmt. (See fn. 2)									
13. - Calamos Inv. Mgmt. Fund (See fn. 2)									
14. - Allegiance Capital (See fn. 2)									
15. Stroock & Stroock & Lavan retirement Plan (See fn. 1)					Redempt Part	10/18	M	G	
16. Mellon Bank Corp. (Mellon Fin. Corp.)	A	Dividend	K	T					
17. S&S&L Investment Partnerships (See fn. 3)	B	Dividend	J	T	sell part	fn.3	J	A	See fn. 3

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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Hellerstein, Alvin K	07/03/2007

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of the 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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. - Warburg Pincus Funds									
19. - Loeb Partners Investments									
20. Bea Systems		None	K	T					
21. State of Israel Bonds	A	Interest	J	T					
22. CCC Info Svces Group		None			Donated	1/27	K		
23. Gilead Sciences Inc.		None	L	T					
24. Journal Register Co.	A	Dividend	J	T	Donated	9/20	J		
25. Renaissance Holdings Ltd.	A	Dividend	J	T	Sold	2/6	J	B	
26. Regeneron Pharmaceutical		None	J	T					
27. Coventry Health Care Inc.		None	J	T					
28. Citibank Bank Dep.	A	Interest	K	T					
29. Royce Micro-Cap Fund	B	Dividend	J	T					
30. New Eng. Fin. (Perm. Life)	A	Dividend	K	T					
31. Northwestern Mutual (Life Ins.)	D	Dividend	M	T					
32. Gold Fields Ltd.	A	Dividend	J	T					
33. I Shares TR MSCI EAFE Index Fund	B	Dividend	L	T					
34. I Shares Russell 1000 Value Fd.	B	Dividend	L	T					

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35. I Shares Russell 1000 Growth Fd.	A	Dividend	M	T					
36. I Shares Russell 1000 Index Fd.	B	Dividend	L	T					
37. I Shares Russell 2000 Value Fd.	A	Dividend	K	T					
38. I Shares Russell 2000 Growth Fd.	A	Dividend	K	T					
39. Newmont Mining Corp.	A	Dividend	J	T					
40. Skillsoft PLC ADR (See Footnote 3)		None	J	T					
41. Vanguard Int'l Equity Index Fund	A	Dividend	K	T	Buy	2/1	K		
42. Knoll, Inc. (See Footnote 3)	A	Dividend			Received	9/20			
43. Knoll, Inc. (See Footnote 3)		None			Donate	11/20	J		

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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	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		
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Footnote 1 -- Results of investments, inclusive of realized and unrealized gains and losses and dividends and distributions, are reported quarterly and for the year ended 12/31/06. A separate figure for dividends was not reported. No gain or loss is reported except as reported at Line 15, since the investment qualifies as an IRA/401-K.

Footnote 2 -- Reflects in whole or in part rollovers from funds listed in my Financial Disclosure Report for year ended December 31, 2006, Part VII, lines 6 to 14.

Foofnote 3 -- Various of the entities in which S&S&L Investment Partnership invested were sold on various dates during 2006. The values, gains and losses are reported at the end of the year in K1 reports. The identities of buyers and sellers are not given. One such company was Ness Tech, Inc., sold 6/16 for "J" at a loss of "A". Securities also were distributed to participants at various dates during 2006. Knoll, Inc. and Skillsoft PLC ADR were both received by me in that capacity, on 6/3 and 10/17 for Knoll, and 11/16 and 12/21 for Skillsoft.

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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 [redacted] **Date** July 3, 2007

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