

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
UNITED STATES COURTHOUSE
500 PEARL STREET
NEW YORK, NEW YORK 10007-1312

CHAMBERS OF
DENISE COTE
DISTRICT JUDGE

(212) 805-0202

The Honorable Ortie D. Smith
Chair
Committee on Financial Disclosure
Judicial Conference of the United States
One Columbus Circle, N.E.
Washington, D.C. 20544

RECEIVED
2007 AUG 20 A 11:58
FINANCIAL
DISCLOSURE OFFICE

August 10, 2007

Re: Denise Cote Calendar Year 2006 Filing

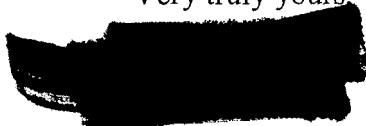
Dear Judge Smith:

In response to your August 2, 2007 letter, I offer the following explanations:

1. The Vanguard Specialized Port and Vanguard Healthcare Fund are the same. Vanguard Specialized Portfolio Healthcare Fund shortened its name to Vanguard Healthcare Fund.
2. The CMF Money Market Portfolio is a cash equivalent. When sales are made, cash is received, and is automatically swept on a regular basis into the money market fund. I believe I moved my investments to JB Global in 2004. As a result, I ask to amend my disclosures for 2004, 2005, and 2006 to add the cash equivalent figures for gross value at end of reporting period (Section VII C):
 - a. 12/31/04: K; value method: T
 - b. 12/31/05: K; value method: T
 - c. 12/31/06: K; value method: T

I hope this responds adequately to your questions.

Very truly yours



Denise Cote

**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) Cote, Denise L	2. Court or Organization U.S.D.C., S.D.N.Y.	3. Date of Report 05/15/2007
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) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address U.S. District Court, Room 1040 500 Pearl 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 _____	
<p>IMPORTANT NOTES: <i>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></p>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

NONE *(No reportable positions.)*

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. President's Advisory Committee	St. Mary's College
2. Advisor to Restatement of Law III, Economic Torts and Related Wrongs	ALI
3.	
4.	
5.	

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

NONE *(No reportable agreements.)*

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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Name of Person Reporting Cote, Denise L	Date of Report 05/15/2007
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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. St. Mary's College	May 20 - Notre Dame, IN - Award of Honorary Doctorate (Food, Lodging, and Transportation)
2. American Law Institute	June 2 - Philadelphia, PA - Meeting of Advisers to Restatement III of Torts: Economic Torts and Related Wrongs (Food and Transportation)
3. Practicing Law Institute	July 25-26 - San Fransisco, CA - How to Prepare and Conduct Markman Hearings (Transportation and Lodging)
4. Southern District of New York	Sept. 7-9 - New Paltz, NY - Second Circuit Judicial Conference (Lodging and Food)

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5. Judicial Conference

Oct. 17-19 - Palm Beach, FL - MDL Transferee Judges Conference (Transportation, Food, and Lodging)

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 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 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) 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. TD Ameritrade Account with JBGlobal (1/1/06-12/31/06)			O	T					See lines 2 through 28
2. ABN-AMBRO Montag & Caldwell Growth Fund	A	Dividend			sell	12/07	L		
3. Clipper Fund	A	Dividend	K	T	buy	8/25	J		
4.					sell	9/12	J		
5.					buy	10/02	J		
6. Excelsior Energy & Natural Resources Fund	A	Dividend	J	T					
7. Japan Fund	A	Dividend	K	T	sell	1/09	K		
8.					buy	4/18	K		
9. John Hancock LG Cap Select Fund	A	Dividend	L	T	buy	12/08	L		
10. John Hancock Strategic Income Fund	D	Dividend	M	T	buy	1/09	K		
11.					buy	1/23	L		
12.					sell	5/22	K		
13. Matthews Japan Fund		<i>None</i>	J	T	buy	6/08	J		
14. Matthews Pacific Tiger Fund	A	Dividend	J	T	sell	4/17	K		
15.					sell	8/24	J		
16.					sell	9/11	J		
17. Seligman Communications & Information		<i>None</i>	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

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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) 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Fund									
18. Third Avenue Value Fund	A	Dividend	J	T	sell	9/11	J		
19.					sell	9/29	J		
20. Torray Fund	A	Dividend	K	T	buy	1/20	K		
21.					buy	5/23	K		
22. Vanguard Equity Income Fund	C	Dividend	M	T					
23. Vanguard Healthcare Fund	A	Dividend	K	T					
24. Vanguard INFL-Protected Security Fund	A	Dividend	K	T					
25. Vanguard S/T Investment Grade Bond Fund	A	Dividend			sell	1/20	L		
26. Wells Fargo Ultra S/T Income Fund	C	Dividend	L	T					
27. CMF Money Market Portfolio	A	Dividend	K	T					
28. CASH		None	J	T					
29. Columbia University Pension (TIAA CREF)	E	Distribution	O	T					
30. Chase Accounts		None	J	T					
31. MERRILL LYNCH ACCOUNT									See lines 32 through 39
32. Muni Investment Trust SA	A	Princ. Payments	J	T					
33. Merrill Lynch Bank Deposit	B	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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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) 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
34. Georgian Bank	A	Interest			redeem	3/31	J		
35. Washington Mutual	A	Interest			redeem	5/26	K		
36. Flagstar Bank	A	Interest			redeem	12/8	K		
37. Merrick Bank	A	Interest	K	T					
38. Everbank	A	Interest	K	T	buy	6/2	K		
39. Webster Bank	A	Interest	K	T	buy	4/6	J		
40.									
41.									
42.									
43.									
44.									
45.									

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



Date _____

May 14, 2007

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)

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