

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2007**

<b>1. Person Reporting</b> (last name, first, middle initial) STEIN, SIDNEY H	<b>2. Court or Organization</b> U.S. Federal District Court	<b>3. Date of Report</b> 08/15/2008
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.D.C. Judge - Active Status	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b> 01/01/2007 to 12/31/2007
<b>7. Chambers or Office Address</b> U.S. Courthouse 500 Pearl Street New York, New York 10007-1312	<b>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.</b>  Reviewing Officer _____ Date _____	
<p><b>IMPORTANT NOTES:</b> 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.</p>		

**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. Member, Board of Directors	Practising Law Institute, a not for profit organization for continuing legal education
2.	
3.	
4.	
5.	

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 DISCLOSURE OFFICE

**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.	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1. 2007	West Services, Inc. - Royalty	\$ 3,966.95
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. 2007	[REDACTED]
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.	China Chamber of Commerce for Import & Export of Medicines & Health Products;	6/23-27/2007	Beijing, China	Speaking at conference of	Transportation, lodging and food
2.	Chinese Ministry of Commerce and Sidley & Austin LLP			Chinese officials and	
3.				businessmen	
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 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.	MONEY MARKETS									
2.	JPMORGAN U.S. GOVT.	C	Interest	J	T					
3.	DREYFUS MUNI MKT	C	Interest	J	T					
4.										
5.	COMMON STOCKS									
6.	BERKSHIRE HATHAWAY CORP.		None	PI	T					
7.	5180 GRANT AVENUE CORP.	D	Dividend	PI	W					
8.										
9.	TAX EXEMPT BONDS									
10.	NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
11.	NEW YORK ST MTG AGY REV HOMETOWN MTG-29-A-RMKT	C	Interest	M	T					
12.	NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
13.	NY STATE PWR AUTH REV & GEN PURP SER DETM	C	Interest	L	T	Part Called	1-2	J	A	
14.	NY STATE POWER AUTH SER G 1/1/10	C	Interest	L	T					
15.	NYS MTG AGY	D	Interest	M	T					
16.	NYS THWY AUTH.	D	Interest	M	T					
17.	NEW YORK ST. HSG FIN AGY GEN SER A	D	Interest	M	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  
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000  
I = 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)	
	18. NEW YORK STATE POWER AUTH.	C	Interest	K	T					
19. DUTCHESS CTY. NY 5%, 8/1/09	D	Interest	M	T						
20. MTA N.Y. 5%, 7/1/11	C	Interest	M	T						
21. TRIBOROUGH BRIDGE & TUNNEL 5.2%, 1/1/20	D	Interest	M	T						
22. N.Y.S. ENV. 5.25%, 10/15/20	D	Interest	M	T						
23. N.Y.C. 5% DUE 2/1/24	D	Interest	M	T						
24. N.Y.S. THRWY. AUTH. 5.3%, 4/1/15	D	Interest	M	T						
25. N.Y.S. SER. C 4/15/13	D	Interest	M	T						
26. N.Y.C. 4.25%, 11/15/08	B	Interest			Sold	6-7	L	B		
27. LONG ISLAND PWR 5%, 8/1/17	D	Interest	M	T						
28. MAMARONECK, NY 4%, 11/1/17	D	Interest	M	T						
29. ARDSLEY NY 4.25%, 6/1/18	B	Interest	M	T	Buy	6-7	M			
30. PORT AUTH. NY & NJ 5%, 2/1/20	C	Interest	M	T	Buy	7-26	M			
31. MUTUAL FUNDS										
32. BRANDYWINE FUND INC.	G	Dividend	PI	T						
33. VANGUARD 500 INDEX FUND					Buy	2-16	P2			
34. VANGUARD 500 INDEX FUND					Buy	2-23	K			

1. Income Gain Codes:

(See Columns B1 and D4)

A = \$1,000 or less

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G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000

HI1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

HI2 = 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

P3 = \$25,000,001 - \$50,000,000

P4 = More than \$50,000,000

3. Value Method Codes

(See Column C2)

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. VANGUARD 500 INDEX FUND					Buy	3-26	K		
36. VANGUARD 500 INDEX FUND					Part Sale	4-10	N		
37. VANGUARD 500 INDEX FUND					Buy	6-25	K		
38. VANGUARD 500 INDEX FUND					Buy	9-24	K		
39. VANGUARD 500 INDEX FUND	G	Dividend	P2	T	Buy	12-24	K		
40. DAVIS NY VENTURE FUND INC. CL. A	E	Dividend	P1	T	Part Sale	12-18	L	D	
41. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	1-22	J		
42. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	2-20	J		
43. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	3-22	J		
44. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	4-23	J		
45. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	5-22	J		
46. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	6-21	J		
47. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	7-6	J		
48. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	7-23	J		
49. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	8-22	J		
50. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	9-21	J		
51. BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	10-23	J		

1. Income Gain Codes:

(See Columns B1 and D4)

A = \$1,000 or less

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C = \$2,501 - \$5,000

H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes

(See Columns C1 and D3)

J = \$15,000 or less

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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

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52.	BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND					Buy	11-21	J		
53.	BNY HAMILTON INTERMEDIATE TAX EXEMPT FUND	F	Dividend	P1	T	Buy	12-24	J		
54.	CDC INVEST FUNDS LOOMIS SAYLES LARGE CAP GROWTH FUND		None			Sold	2-14	P1	G	
55.	TURNER SMALL CAP EQUITY FUND					Part Sale	2-14	P1	G	
56.	TURNER SMALL CAP EQUITY FUND	G	Dividend	P1	T	Buy	12-17	O		
57.	NEUBERGER BERMAN INT'L TRUST FUND	G	Dividend	P2	T	Buy	2-16	P2		
58.										
59.	MISCELLANEOUS									
60.	CASH, JPMORGAN CHASE	E	Interest	O	T					
61.	FINE ARTS HELD AS TENANT-IN-COMMON	D	Rent	P1	W					
62.	ARBOR PPTY TRUST		None	K	T					
63.	SERVICEMASTER LP		None	M	T					
64.										
65.	NOTE: JUDGE STEIN HAS ELECTED									
66.	NOT TO LIST INFORMATION									
67.	BY [REDACTED] MEMBER									

- 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; F = \$50,001 - \$100,000; G = \$100,001 - \$1,000,000; H = \$1,000,001 - \$5,000,000; I = \$5,000,001 - \$10,000,000; J = More than \$10,000,000
- 2. Value Codes: J = \$15,000 or less; K = \$15,001 - \$50,000; L = \$50,001 - \$100,000; M = \$100,001 - \$250,000; 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; U = Book Value; V = Other; W = Estimated

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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 \_\_\_\_\_

A large black rectangular redaction covers the signature area.

**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