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

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FINANCIAL
DISCLOSURE OFFICE

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

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,

[redacted]

Denise Cote

AO 10 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)	2. Court or Organization	3. Date of Report
Cote, Denise L	U.S.D.C., S.D.N.Y.	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)** [ ] Nomination, Date [ ] Initial [X] Annual [ ] Final **5b.** [ ] 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______	

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.	President's Advisory Committee	St. Mary's College
2.	Advisor to Restatement of Law III, Economic Torts and Related Wrongs	ALI
3.		
4.		
5.		

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FINANCIAL DISCLOSURE OFFICE

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

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

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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

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

A. Filer's Non-Investment Income

[X] NONE *(No reportable non-investment income.)*

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

[X] 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.	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: EconomicTorts 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)

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

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

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

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.)*

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

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

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

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) 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, redemption)	D. (2) Date Month - Day	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (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		None	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		None	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 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	

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

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				
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)
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	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 =$250,001 - $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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

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				
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)
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	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	

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

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

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

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 May 14, 2007

NOTE: ANY INDIVIDUAL WHO [redacted]ILFULLY 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