AO 10 Rev. 1/2006

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2005

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
Hellerstein, Alvin K	U.S. District Court - NY-South	08/11/2006
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
U.S. District Judge (Active)	☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	01/01/2005 to 12/31/2005
7. Chambers or Office Address	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.	
United States District Court 500 Pearl Street - Room 1050 New York, New York 10007	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.	
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	08/11/2006

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. 2005	Pension from former law firm	$ 440,781
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	2/8-2/10 - Panelist, FBC CLE Program, advancing airfare
2.	
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. 32-34 of instructions.)*

[ ] NONE *(No reportable liabilities.)*

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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Hellerstein, Alvin K	08/11/2006

VII. INVESTMENTS and TRUSTS – *income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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				
						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)
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)	A	Dividend	K	T	sell part	fn.3	J	D	See fn. 3

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		

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Hellerstein, Alvin K	08/11/2006

VII. INVESTMENTS and TRUSTS – *income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, 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)
18. - Warburg Pincus Funds									
19. - Loeb Partners Investments									
20. - United Park City Mines									
21. Bea Systems		None	K	T					
22. State of Israel Bonds	A	Interest	J	T					
23. CCC Info Svces Group		None	K	T	Donated Part	9/8	K		
24. Gilead Sciences Inc.		None	K	T					
25. Journal Register Co.	A	Dividend	J	T					
26. Renaissance Holdings Ltd.	A	Dividend	J	T					
27. Regeneron Pharmaceutical		None	J	T					
28. Insight Comm.		None			Sell	12/19	K	E	
29. ECOLAB Inc.	A	Dividend			donated	9/8	J		
30. Coventry Health Care Inc.		None	J	T					
31. Citibank Bank Dep.	A	Interest	J	T					
32. Royce Micro-Cap Fund	A	Dividend	J	T					
33. New Eng. Fin. (Perm. Life)	A	Dividend	K	T					
34. Northwestern Mutual (Life Ins.)	D	Dividend	M	T					

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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	
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35. Gold Fields Ltd.	A	Dividend	J	T					
36. I Shares TR MSCI EAFE Index Fund	B	Dividend	L	T					
37. I Shares Russell 1000 Value Fd.	B	Dividend	L	T					
38. I Shares Russell 1000 Growth Fd.	A	Dividend	L	T					
39. I Shares Russell 1000 Index Fd.	B	Dividend	L	T					
40. I Shares Russell 2000 Value Fd.	A	Dividend	K	T					
41. I Shares Russell 2000 Growth Fd.	A	Dividend	K	T					
42. Kyphon, Inc.		None			Donated	9/8	J		
43. SEE FOOTNOTE 4									

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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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 12/31/05. 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, 2004, Part VII, lines 6 to 14. I Shares Lehman Agg. succeeded to the funds, as of 1/1/05, previously managed by Tattersall Adv. Gp.

Foofnote 3 -- (a) Various of the entities in which S&S&L Investment Partnership invested sold their holdings on various dates during 2004. 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.

(b) Fashion Mag Apparel, previously reported as one of such holdings, was sold in calendar year 2004 at a loss. Thus, it is not identified in this year's report.

(c) United Park City Mines, also identified on a separate line in 2004, and identified again this year, was substantially sold prior to the 2005 reporting year, with sales being completed during 2005 (with dates and details not having been disclosed.) The investment will not carry forward to next year's report.

Footnote 4 -- Covad Comm. was inadvertently reported last year in PartVII, ln. 24. As reported for the year ended December 31, 2003, it was donated to charity on or about November 25 2003, and should not thereafter have been reported.

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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 Aug. 11, 2006

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