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Rev. 1/2010

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

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	07/22/2010
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	01/01/2009 to 12/31/2009
	5b. ☐ Amended Report	
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 filing instructions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

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II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing 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.	07/22/2010

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2009	Pension from former law firm	$430,468.00
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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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Hellerstein, Alvin K.	07/22/2010

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

☑ 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 filing instructions.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Chase Mortgage Corp.	Mortgage, condominium	K
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)	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 mm/dd/yy	(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	P1	W					
2. J P Morgan/Chase	A	Interest	M	T					
3. Franklin Templeton Mut. Qual. Fund (IRA)	C	Dividend	M	T					
4. Dreyfus Money Market Funds (Spouse)	A	Interest	K	T					
5. Stroock & Stroock & Lavan Retirement Plan (See fn. 1)			P1	T					
6. - I shares Barclays Agg. Bond Fund									
7. - Alliance Bernstein Equity Fund (See fn. 2)									
8. - Thornburg Inv. Mgmt. (See fn. 2)									
9. - Turner Inv. Partners Fund (See fn. 2)									
10. - C.S. McKee, L.P. (See fn. 2)									
11. - Brandes Inv. Part. Fund (See fn. 2)									
12. - Westfield Capital Mgmt. (See fn. 2)									
13. - TimeSquare Cap. Mgmt. (See fn. 2)									
14. - Macquarie Allegiance Cap. Fund (See fn. 2)									
15. - Cramer Rosenthal McGlynn (see fn. 5)									
16. S&S&L Investment Partnerships (See fn. 3)	A	Dividend	J	T					
17. - Warburg Pincus Funds									

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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☐ 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - Loeb Partners Investments									
19. State of Israel Bonds	A	Interest	J	T					
20. Gilead Sciences Inc.		None	L	T					
21. Regeneron Pharmaceutical		None	J	T					
22. Coventry Health Care Inc.		None	J	T					
23. Citibank Bank Dep.	A	Interest	L	T					
24. Northwestern Mutual (Life Ins.) (See Footnote 4)									
25. Gold Fields Ltd.	A	Dividend	J	T					
26. I Shares TR MSCI EAFE Index Fund	B	Dividend	L	T					
27. I Shares Russell 1000 Value Fd.	B	Dividend	L	T					
28. I Shares Russell 1000 Growth Fd.	B	Dividend	L	T					
29. I Shares Russell 1000 Index Fd.	B	Dividend	L	T					
30. I Shares Russell 2000 Value Fd.	A	Dividend	K	T					
31. I Shares Russell 2000 Growth Fd.	A	Dividend	K	T					
32. I Shares Trust US FinSvc	A	Dividend	K	T					
33. Newmont Mining Corp.	A	Dividend	J	T					
34. Skillsoft PLC ADR		None			Donated	12/29/09	J		

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	
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35. Vanguard Emergency Mkts ETF (See Footnote 5)	A	Dividend	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
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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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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		

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 to me quarterly and for year end. A separate figure for dividends was not reported to me. No gain or loss is reported, since the investment qualifies as an IRA/401-K. No redemptions were made during 2009.

Footnote 2 -- During the first quarter of calendar year 2009, investments for my account in Lehman I Shares Bond Fund were closed and all funds were rolled over into I Shares Barclays Agg. Bond Fund. Other changes reflect name changes or corrections.

Footnote 3 -- Various of the entities in which S&S&L Investment Partnership invested were sold on various dates during 2009. The gains and losses are reported at the end of the year in K1 reports. The identities of buyers and sellers are not given.

Footnote 4 -- Cash value and dividends are applied to premiums, resulting in paid-up life insurance, payable on the second to die between [redacted] and me. Hence, the policy does not pay dividends, and has no gross value.

Footnote 5 -- In April 2008, funds from other managed accounts were rolled over to be managed by Cramer Rosenthal McGlynn, and continued so to be managed throughout 2009. Inadvertently, my listing of managed accounts for the 2008 year did not include Cramer Rosenthal McGlynn.

Name of Person Reporting	Date 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.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY [redacted]
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