

BRICCETTI, CALHOUN & LAWRENCE, LLP

ATTORNEYS AT LAW

81 MAIN STREET

SUITE 450

WHITE PLAINS, NEW YORK 10601

VINCENT L. BRICCETTI*

CLINTON W. CALHOUN, III**

KERRY A. LAWRENCE*

(914) 946-5900

FAX (914) 946-5906

January 5, 2011

*ALSO ADMITTED IN CT

**ALSO ADMITTED IN VA & DC

The Honorable Patrick J. Leahy
Chairman
Committee on the Judiciary
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

I have reviewed the Senate Questionnaire I previously filed in connection with my nomination on November 17, 2010, to be United States District Judge for the Southern District of New York. I certify that the information contained in that document is, to the best of my knowledge, true and accurate.

I am also forwarding an updated Net Worth Statement and Financial Disclosure Report as requested in the Questionnaire. I thank the Committee for its consideration of my nomination.

Sincerely,



Vincent L. Briccetti

cc: The Honorable Charles Grassley
Ranking Member
Committee on the Judiciary
United States Senate
Washington, DC 20510

FINANCIAL DISCLOSURE REPORT NOMINATION FILING

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) Briccetti, Vincent L.	2. Court or Organization U.S. District Court for the Southern District of New York	3. Date of Report 01/05/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	5a. Report Type (check appropriate type) ☒ Nomination, Date 01/05/2011 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/22/2010
7. Chambers or Office Address 81 Main Street, Suite 450 White Plains, NY 10601	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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	Briccetti, Calhoun & Lawrence, LLP
2. President	Primeview Associates, Inc.
3. Trustee	Trust #1
4. Director/Treasurer	Federal Defenders of New York, Inc.
5.	

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> (yours, not spouse's)
1. 2010	Briccetti, Calhoun & Lawrence, LLP	\$203,851.00
2. 2009	Briccetti, Calhoun & Lawrence, LLP	\$207,508.00
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. 2010	Greenwich Anesthesiology Associates, P.C. - Salary
2.	
3.	
4.	

IV. REIMBURSEMENTS - *(transportation, lodging, food, entertainment.**Includes those in 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. Exempt				
2.				
3.				
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. Exempt		
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. Dovenmuehle Mortgage Inc.	Mortgage partially on rental property	M
2. Citibank	Student Loan	K
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1	Rental Property #1, South Salem, NY (1993, \$62,458)	D	Rent	L	R	Exempt				
2.	Chase Bank, Various Accounts	A	Interest	L	T					
3.	Fidelity Growth Company Fund	A	Dividend	K	T					
4.	Fidelity NY Muni MM Fund	A	Dividend	J	T					
5	NMIS General NY Muni MM Fund Class B		None	K	T					
6.	Vanguard NY LT Tax-Exempt Fund Inves tor	A	Dividend	J	T					
7.	IRA #1	B	Dividend	L	T					
8.	- Vanguard Growth & Income Fund									
9.	- Vanguard 500 Index Fund									
10.	- Vanguard Windsor II Fund									
11	- Vanguard Wellington Fund									
12.	IRA #2	B	Dividend	M	T					
13.	- Vanguard Growth & Income Fund									
14.	- Vanguard 500 Index Fund									
15.	- Vanguard Windsor II Fund									
16.	- Vanguard Wellington Fund									
17.	401 (K) #1		None	N	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

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

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 Marker

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Name of Person Reporting

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date Month - Day	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. - American Funds The Growth Fund of America									
19. - Wellington Management Company Mid Cap Stock Fund									
20. - Franklin Templeton Investments International Value Fund									
21. - American Funds EuroPacific Growth Fund									
22. - American Funds American Balanced Fund									
23. - MFC Global Investment Mgmt. Small Cap Index Fund									
24. - MFC Global Investment Mgmt. Mid Cap Index Fund									
25. - PIMCO Total Return Fund									
26. - PIMCO Real Return Fund									
27. - Russell Investment Group Russell Balanced Fund									
28. 401 (K) #2	C	Dividend	M	T					
29. - Vanguard Wellington Fund									
30. Northwestern Mutual Whole Life Policy	B	Dividend	L	T					
31. Northwestern Variable Life Policy #1	A	Dividend	K	T					
32. - Northwestern MM									
33. - Northwestern Balanced									
34. - Northwestern Index 500 Stock									

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

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

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
Q = \$250,001 - \$500,000

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)
35. - Northwestern Growth Stock									
36. - Northwestern Index 400 Stock									
37. - Northwestern Small Cap Growth Stock									
38. - Russell Real Estate Securities									
39. Northwestern Variable Life Policy #2	B	Dividend	K	T					
40. - Northwestern MM									
41. - Northwestern Balanced									
42. - Northwestern Index 500 Stock									
43. - Northwestern Growth Stock									
44. - Northwestern Index 400 Stock									
45. - Northwestern Small Cap Growth Stock									
46. - Russell Real Estate Securities									
47. New York 529 College Savings Plan	B	Dividend	K	T					
48. - Interest Accumulation Portfolio									
49. - Aggressive Age-Based Option: Income Portfolio									
50. Trust #1	D	Int./Div.	M	T					
51. - DWS High Income Plus Fund									

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

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

I1 = \$1,000,001 - \$5,000,000
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)
52. - DWS NY Tax Free Income Fund									
53. - Croton Harmon NY Union Free School Tax Ex Muni Bond									
54. - Monroe Cnty NY ARPT Auth Rev Tax Ex Muni Bond									
55. - NY Insured Municipal Income Trust Series No. 190									
56. - NY Insured Municipal Income Trust Series No. 160									
57. - NY Insured Municipal Income Trust Series No. 171									
58. - Edward Jones MM									
59. - MetLife Investors Fixed Annuity									

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
I1 = \$15,001 - \$50,000

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.)*

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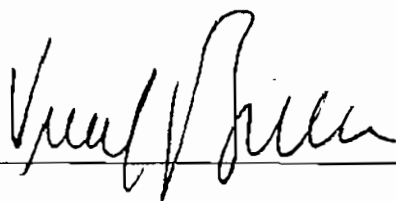
01/05/2011

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



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

FINANCIAL STATEMENT**NET WORTH**

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		81	070	Notes payable to banks – secured (auto loans)		23	212
U.S. Government securities				Notes payable to banks – unsecured (college loans)		17	650
Listed securities – see schedule		904	620	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due		5	000
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable—primary residence (including rental unit)		194	244
Real estate owned—primary residence (including rental unit)		900	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		60	000				
Cash value-life insurance		147	972				
Other assets itemize:							
New York 529 College Savings Plan		22	312				
Interest in Law Firm		200	000				
Thrift Savings Plan			33	Total liabilities		240	106
				Net Worth		2	075 901
Total Assets	2	316	007	Total liabilities and net worth	2	316	007
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor on leases or contracts				Are any assets pledged? (Add schedule)	NO		
Legal Claims				Are you defendant in any suits or legal actions?	NO		
Provision for Federal Income Tax				Have you ever taken bankruptcy?	NO		
Other special debt							

FINANCIAL STATEMENT

NET WORTH SCHEDULES

Listed Securities

American Funds American Balanced Fund	\$ 24,170
American Funds EuroPacific Growth Fund	6,248
American Funds The Growth Fund of America	7,933
Fidelity Growth Company Fund	16,164
Fidelity NY Municipal Money Market Fund	10,523
Franklin Templeton Investments International Value Fund	5,936
MFC Global Investment Mgmt. Small Cap Index Fund	6,566
MFC Global Investment Mgmt. Mid Cap Index Fund	4,547
NMIS General NY Municipal Money Market Fund	36,891
PIMCO Total Return Fund	13,249
PIMCO Real Return Fund	4,214
Russell Investment Group Russell Balanced Fund	402,957
Vanguard 500 Index Fund	33,035
Vanguard Growth & Income Fund	33,341
Vanguard NY Long-Term Tax-Exempt Fund	2,934
Vanguard Wellington Fund	245,696
Vanguard Windsor II Fund	39,769
Wellington Management Company Mid Cap Stock Fund	10,447
Total Listed Securities	<u>\$ 904,620</u>