AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Broderick, Vernon S.	District Court, Southern District of New York	9/12/2022
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**
District Court, South District of New York	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
500 Pearl Street Room 410 New York, NY 10007		

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.***

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Member Board of Directors	Justice Resource Fund
2.	Member Board of Directors	City Bar Fun
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2013	Weil, Gotshal & Manages LLP Partnership Agreement - capital distributions upon leaving partnership
2.	2013	Weil, Gotshal & Manages LLP Partnership Agreement - pension plan provisions
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

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

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Broderick, Vernon S.	9/12/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
1. Citibank Cash Account	B	Dividend	K	T					
2. American Fund New Perspective Fund	B	Dividend	K	T					
3. American Fund Investment Company of America	B	Dividend	K	T					
4. SEI Core Fixed Income Fund	B	Dividend	K	T					
5. SEI International Fixed Income	B	Dividend	L	T					
6. SEI International High Yeild Bond	B	Dividend	L	T					
7. SEI International EM Debt	B	Dividend	L	T					
8. SEI Tax Exempt Trust	B	Dividend	L	T					
9. SEI Multi Strategy Alternative Fund	A	Dividend	J	T					
10. SEI Large Cap Fund	A	Dividend	K	T					
11. SEI Small Cap Fund	A	Dividend	J	T					
12. SEI US Fixed Income	A	Dividend	J	T					
13. SEI International Equity	A	Dividend	J	T					
14. SEI Multi Asset Accumulation	A	Dividend	J	T					
15. SEI Liquid Assets Trust Prime	A	Dividend	J	T					
16. SEI Multi Asset Income	A	Dividend	J	T					
17. SEI Multi Asset Inflation	A	Dividend	J	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
Broderick, Vernon S.	9/12/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
18. Guardian Whole Life Insurance	C	Dividend	N	T					
19. Northwestern Mutual Whole Life Insurance	A	Dividend	L	T					
20. Northwestern Mutual Variable Life - 500 Fund	B	Dividend	J	T					
21. Northwestern Mutual Variable Life - International Equity	B	Dividend	J	T					
22. Northwestern Mutual Variable life - Mid Cap Growth	B	Dividend	J	T					
23. Northwestern Mutual Variable Life - Selec Bond	B	Dividend	J	T					
24. C Fund Common Stock	A	Dividend	M	T					
25. F Fund Fixed Income	A	Dividend	L	T					
26. G Fund Government Securities	A	Dividend	L	T					
27. NY 529 - Aggressive Growth	A	Dividend	J	T					
28. NY 529 - Bond Market Index	A	Dividend	J	T					
29. NY 529 - Conservative Growth	A	Dividend	J	T					
30. NY 529 - Growth Portfolio	A	Dividend	J	T					
31. NY 529 - Growth Stock Index	A	Dividend	J	T					
32. NY 529 - Income Portfolio	A	Dividend	J	T					
33. NY 529 - Inflation Protected Portfolio	A	Dividend	J	T					
34. Guardian VA - American Century Mid Cap	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
	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	
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35. Guardian VA - Blackrock capital appreciation	A	Dividend	K	T					
36. Guardian VA - BlackRock Large Cap Core	A	Dividend	J	T					
37. Guardian VA - Columbia Small Cap	A	Dividend	J	T					
38. Guardian VA - Fidelity Contrafund	A	Dividend	K	T					
39. Guardian VA - Franklin US Gov't Fund	A	Dividend	J	T					
40. Guardian VA - Victory Income Fund	A	Dividend	J	T					
41. Guardian VA - Victory Low Duration Income Fund	A	Dividend	J	T					
42. Guardian VA - Invesco International	A	Dividend	J	T					
43. Guardian VA - Ivy Mid Cap	A	Dividend	J	T					
44. Guardian VA - MFS Total Return	A	Dividend	J	T					
45. Guardian VA - MFS New Discovery	A	Dividend	J	T					
46. Guardian VA - MFS Tech Fund	A	Dividend	J	T					
47. Guardian VA - MFS Utilities Fund	A	Dividend	J	T					
48. Guardian VA - Oppenheimer Small Cap	A	Dividend	J	T					
49. Guardian VA - Oppenhiemer Global Strategic Income	A	Dividend	J	T					
50. Guardian VA - Pioneer Equity	A	Dividend	K	T					
51. Guardian VA - Pimco Total Return	A	Dividend	J	T					

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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	
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52. Guardian VA - Putnam Equity	A	Dividend	J	T					
53. Guardian VA - Putnam VT Investors	A	Dividend	J	T					
54. Guardian VA - Templeton Foreign Fund	A	Dividend	J	T					

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

Name of Person Reporting	Date of Report
Broderick, Vernon S.	9/12/2022

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: s/ Vernon S. Broderick

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544