AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 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 | 9/12/2023 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| 500 Pearl Street Room 410<br>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.** | 9/12/2023 |

## 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.** | 9/12/2023 |

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| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
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| 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 | | | | | |

| | | | | | |
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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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| 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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| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Broderick, Vernon S.** | 9/12/2023 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Broderick, Vernon S.** | 9/12/2023 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544