

FINANCIAL DISCLOSURE REPORT FINAL 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) PECK, ANDREW J.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 3/2/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2017 to 3/2/2018
7. Chambers or Office Address United States Courthouse 500 Pearl Street, Room 1370 New York, NY 10007-1312		
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 pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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. 1/24/2017	Consilio (Teaching E-Discovery)	\$2,000.00
2. 1/30/2017	Legal Tech: Corporate Round Table (Teaching E-Discovery)	\$1,750.00
3. 1/31/2017	Legal Tech: ALM (Teaching E-Discovery)	\$2,000.00
4. 1/31/2017	Legal Tech: Driven (Teaching E-Discovery)	\$2,000.00
5. 2/15/2017	Sandpiper Partners Ediscovery Conference (Teaching E-Discovery)	\$2,000.00
6. 5/02/2017	Counsel-on-Call Ediscovery Conference (Teaching E-Discovery)	\$2,000.00
7. 5/17/2017	Access Data Ediscovery (Teaching E-Discovery)	\$2,000.00
8. 8/14/2017	ILTA (Teaching E-Discovery)	\$1,600.00
9. 8/30/2017	Counsel-on-Call Ediscovery Conference (Teaching E-Discovery)	\$2,000.00
10. 9/12/2017	Exterro Ediscovery Conference (Teaching E-Discovery)	\$1,000.00
11. 10/23/2017	Relativity Fest (Teaching Ediscovery)	\$2,000.00
12. 10/25/17	Corporate Roundtable (Teaching Ediscovery)	\$1,750.00
13. 10/30/2017	UMKC E-Discovery Conference (Teaching E-Discovery)	\$2,000.00
14. 12/7/2017	Sandpiper Partners Ediscovery Conference (Teaching Ediscovery)	\$2,000.00
15. 1/24-31/18	Legal Tech: Corporate Roundtable	\$3,500.00
16. 1/31/18	Legal Tech: ALM	\$2,000.00
17. 1/31/18	Legal Tech: Driven	\$2,000.00
18.		

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. 01/01/2017	3/2/18 N.Y.C. Board of Education - Pension

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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.	ABA & Sandpiper	2/14-2/17	San Francisco, CA	Speaker - E-Disc. Confs.	Transportation, Lodging & Meals
2.	Sedona Conf.	3/1-3/3	Houston, Tx	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
3.	ABA	3/21-3/25	Puerto Vallarta, Mexico	Speaker - ABA Conf.	Transportation, Lodging & Meals
4.	Relativity (KCura)	4/22-4/27	London, England	Speaker - E-Disc. Conf..	Transportation, Lodging & Meals
5.	Counsel on Call	5/1-5/3	Nashville, TN	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
6.	Sedona Conf.	5/3-5/5	Minneapolis, MN	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
7.	Access Data	5/15-5/20	San Diego, CA	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
8.	ILTA	8/13-8/18	Las Vegas, NV	Speaker E-Disc. Conf.	Transportation, Lodging & Meals
9.	Duke Law School	9/6-9/8	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
10.	Exterro & Zapproved	9/10-9/16	Portland, OR	Speaker - E-Disc. Confs.	Transportation, Lodging & Meals
11.	EDI & FJC	10/9-10/14	Marana, AZ	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
12.	Relativity	10/22-10/25	Chicago, IL	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
13.	Duke Law School	10/26-10/28	Durham, NC	Duke Law Bd. of Visitors Mtg.	Transportation, Lodging & Meals
14.	UMKC	10/29-10/30	Kansas City, MO	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
15.	Technology in Practice	11/8-11/9	Toronto, Canada	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
16.	ABA	11/10-11/11	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
17.	Georgetown Law	11/15-11/17	Washington, DC	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals
18.	ABA	2/21-24/18	Nassau, Bahamas	Speaker - ABA Conf.	Transportation, Lodging & Meals
19.	Sedona Conf.	2/28-3/2/18	Nashville, TN	Speaker - E-Disc. Conf.	Transportation, Lodging & Meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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.			
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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 I (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. U.S. Treas.Bills/Notes & SvgsBonds	D	Interest	J	T					
2. NYS, NYC & NYS Subdivs. Bonds	E	Interest	O	T					
3. Bristol-Myers-Squib (Common Stock)	A	Dividend	K	T					
4. Century Link (Telephone) (Common Stock)	A	Dividend	J	T					
5. Deutsche (DWS) N.Y. Tax Free Fund	D	Dividend	O	T					
6. Chase Bank	A	Interest	N	T					
7. DWS Equity Dividend Fund (Croc)	A	Dividend	J	T					
8. Eaton (Ireland) Common	A	Dividend	N	T					
9. American Express (Common Stock)	A	Dividend	K	T					
10. GLAXO (ADRs)	A	Dividend	J	T					
11. Citibank	A	Interest	L	T					
12. Dreyfus General NY Bond Fund	B	Interest	L	T					
13. N.Y.C. Teachers Retirement TDA	A	Interest	O	T					
14. Fidelity Puritan IRA	A	Interest	L	T					
15. Copeland (457) (IRA)	A	Interest	M	T					
16. Verizon (common)	A	Dividend	J	T					
17. Allstate Corp. (common)	A	Dividend	K	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 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Walt Disney Holding (Common)	A	Dividend	L	T					
19. Time Warner & Time Inc. (Common)	A	Dividend	J	T					
20. Putnam Growth Fund	A	Dividend	K	T					
21. Hewlett Packard (Common)	A	Dividend	J	T					
22. Oracle (Common)	A	Dividend	K	T					
23. Pfizer (Common)	A	Dividend	J	T					
24. Schwab Vanguard Target Retire.Fund(IRA)	E	Interest	N	T					
25. Putnam Growth (Capital) Fund (IRA)	A	Interest	K	T					
26. Deutsche (DWS Scudder) S&P 500 Index Fund	B	Dividend	K	T					
27. Eaton Vance Government Obligation Fund	A	Dividend	K	T					
28. Seligman Communication Fund	A	Dividend	K	T					
29. Coca-Cola (Common)	A	Dividend	J	T					
30. PIMCO N.Y. Municipal Income Fund	A	Dividend	J	T					
31. Voya Fund (Formerly ING)	A	Dividend	L	T					
32. Zimmer Holdings	A	Dividend	J	T					
33. Microsoft	A	Dividend	K	T					
34. Liberty Global & Liberty Media (Common)	A	Dividend	J	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 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 \$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 Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. Pioneer Municipal High Income	A	Dividend	J	T					
36. S&P Depository Receipt	A	Dividend	L	T					
37. Capitol One Bank	C	Interest	O	T					
38. Comcast	A	Dividend	J	T					
39. Discovery Communications	A	Dividend	J	T					
40. AT&T	A	Dividend	J	T					
41. Apple Bank	D	Interest	O	T					
42. TD Bank	A	Interest	M	T					
43. (Pimco) Total Return Annuity	A	Interest	K	T					
44. Fidelity 4 in 1 Fund	A	Interest	K	T					
45. Fidelity Asset Mgr.	A	Interest	J	T					
46. LOMTO Credit Union	D	Interest	M	T					
47. Fidelity VIP Strategic Income	A	Dividend	L	T					
48. Yacktmann Fund	A	Dividend	M	T					
49. N.Y.C. IRA Funds	A	Dividend	L	T					
50. Fedelity VIP Contra Fund	A	Dividend	K	T					
51. Villere Balanced Fund	A	Dividend	K	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 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 \$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 Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Fidelity NY Money Market Fund	A	Dividend	L	T					
53. Charter Communications (Common)	A	Dividend	J	T					
54. Comerice Hub (Common)	A	Dividend	J	T					
55. Yacktman Focused Service Fund	A	Dividend	L	T					
56. Fidelity Govt. Fund	A	Dividend	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 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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

PECK, ANDREW J.

Date of Report

3/2/2018

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/ ANDREW J. PECK

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544