

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Abrams, Ronnie	2. Court or Organization Southern District of New York	3. Date of Report 07/11/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 40 Foley Square 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.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2017

Davis Polk & Wardwell LLP - K1

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

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) 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)
1. Andres Family Partnership	E	Int./Div.	N	U					
2. Rosbur Corporation	D	Dividend	M	T					
3. Citibank Cash Accounts	A	Interest	O	T					
4. Brokerage Accounts (H)									
5. Morgan Stanley - MMA - Cash	A	Interest	K	T					
6. Delaware Diversified Income Fund	A	Dividend	J	T					
7. Cullen International High Dividend Fund - Institutional Class	D	Dividend	M	T	Buy	04/28/17	L		
8.					Sold (part)	06/13/17	K	A	
9.					Buy (add'l)	01/26/17	L		
10.					Buy (add'l)	08/09/17	L		
11. Lord Abbett Intermediate Tax Free Fund - Class F	C	Dividend	M	T	Buy (add'l)	04/27/17	L		
12.					Sold (part)	06/13/17	K	A	
13. Lord Abbett Growth Leaders Fund	C	Dividend	L	T	Buy (add'l)	04/27/17	L		
14. Lord Abbett Affiliated Fund	E	Dividend	M	T					
15. Pimco Income P	C	Dividend	M	T	Buy	04/27/17	K		
16.					Sold (part)	06/13/17	J	A	
17.					Buy (add'l)	08/09/17	M		

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 = \$250,000.001 - \$500,000.000	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	

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

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18. Guggenheim Macro Opport I	C	Dividend	M	T	Buy	04/27/17	K		
19.					Sold (part)	06/13/17	J	A	
20.					Buy (add'l)	08/09/17	M		
21. Delaware Value Instl	C	Dividend	M	T	Buy	04/28/17	L		
22.					Sold (part)	06/13/17	L	A	
23.					Buy (add'l)	08/09/17	L		
24. Doubleline Total Return	B	Dividend	M	T	Buy	08/09/17	M		
25. Angel Oak Multi Strat	C	Dividend	M	T	Buy	08/09/17	M		
26. Putnam Diversified Inc TR	C	Dividend	M	T	Buy	08/09/17	M		
27.					Sold (part)	12/19/17	J	A	
28. EV Income Fund of Boston I	B	Dividend			Buy	08/09/17	M		
29.					Sold (part)	11/06/17	L	A	
30.					Sold	12/19/17	L	A	
31. Lord Abbett Flt Rt	B	Dividend	M	T	Buy	08/09/17	M		
32. MSIF Ultra-Short Income	B	Dividend			Buy	08/08/17	O		
33.					Sold (part)	09/12/17	O	A	
34.					Buy (add'l)	11/08/17	L		

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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.					Sold	12/19/17	N	A	
36. Cullen Emerging Mkts High Div	A	Dividend	J	T	Buy	04/28/17	J		
37. Prudential Jennison Growth	C	Dividend	L	T	Buy	08/09/17	L		
38. IRA # 1 (H)									
39. Morgan Stanley - MMA - Cash	A	Interest	J	T					
40. Cullen International High Dividend Fund - Institutional Class	C	Dividend	M	T					
41. Wells Fargo Advantage Emerging Markets Equity Fund - Class I	A	Dividend	K	T					
42. Pimco Total Return Fund - Class P	C	Dividend	M	T					
43. Angel Oak Multi Strategy Income	B	Dividend	K	T					
44. EV Income Fund of Boston I	A	Dividend	J	T					
45. Harbor Cap Appreciation	E	Dividend	M	T					
46. Delaware Value Instl	D	Dividend	M	T					
47. Lord Abbett FLT RT	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
48. Doubleline Total Return I	A	Dividend	L	T	Buy	11/09/17	L		
49. Harding Loevner Intl Eqty	A	Dividend	L	T	Buy	11/09/17	K		
50. Principal SM MDCP Div Inc I	C	Dividend	M	T	Buy	11/09/17	L		
51. Inherited IRA (H)									

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52. Morgan Stanley - MMA - Cash	A	Interest	J						
53. Cullen International High Dividend Fund - Institutional Class	A	Dividend	J	T					
54. EV Income Fund of Boston I	A	Dividend	J	T					
55. Harbor Cap Appreciation Inst	D	Dividend	L	T					
56. Lord Abbett FLT RT F	B	Dividend	K	T					
57. DPW 401K Plan - Morgan Stanley Core Plus Fixed Inc	A	Int./Div.			Sold	09/26/17	M		
58. DPW 401K Plan - FID 500 Index Fund	A	Int./Div.			Sold	09/26/17	L		
59. DPW HR10 Plan - Oakmark Equity & Income Fund	A	Int./Div.			Sold	09/26/17	M		
60. NYS 529 College Savings Plans - Managed by Vanguard (H)									
61. Developed Market Index	A	Int./Div.	K	T					
62. Growth Stock Index Portfolio	A	Int./Div.	K	T					
63. Value Stock Index Portfolio	A	Int./Div.	K	T					
64. Small Cap Stock Index	A	Int./Div.	J	T					
65.									
66.									
67.									
68.									

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69.									
70.									
71.									
72.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part 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.

Signature: s/ **Ronnie Abrams**

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