

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Gold, Steven M.	2. Court or Organization U.S. District Court EDNY	3. Date of Report 04/27/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. District Court 225 Cadman Plaza East Brooklyn, New York 11201		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. P/time Adjunct Prof. of Law	Brooklyn Law School
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Salary/Adj Prof of Law/Brooklyn Law School	\$21,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Salary/Executive Director, [REDACTED]
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2. Federal Bar Council	11/23/2011	Waldorf Astoria Hotel, New York, NY	Luncheon	Meal (lunch)
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.		Scholarship	\$8,000.00
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.			

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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. Citibank Preferred Money Market Account	A	Int			Closed	04/08/11	J	A	
2. Chase Platinum Checking	A	Interest	J	T	Open	04/08/11	J		
3. Chase Plus Savings	A	Interest	K	T	Open	07/06/11	K		
4. Chase Plus Saving	A	Interest	J	T	Open	08/31/11	J		
5. Oppenheimer Money Market Fund	A	Dividend			Redeemed	03/31/11	J	A	
6. Citibank Transaction Acct IRA	A	Interest			Closed	07/16/11	J	A	
7. Citibank Tax Shelter Acct/Oppenheimer Main Street IRA	A	Dividend			Sold	07/16/11	K	B	
8. Citibank Tax Shelter Acct/Janus Worldwide Fund IRA	A	Dividend			Sold	07/22/11	J	A	
9. Oppenheimer Quest Opp Value Fund IRA	A	Dividend			Sold	07/22/11	K	A	
10. Eaton Vance Fltg Rate Fund (IRA)	A	Dividend			Sold	07/22/11	J	A	
11. Pioneer Global High Yield Fund (IRA)	A	Dividend			Sold	07/22/11	J	A	
12. Franklin-Templeton Income Fund IRA	C	Dividend			Sold	07/22/11	J	A	
13. Franklin US Govt Sec Fund IRA	B	Dividend			Sold	07/22/11	K	A	
14. Franklin-Templeton Founding Fund IRA	A	Dividend			Sold	07/22/11	J	A	
15. Templeton BRIC Fund IRA	A	Dividend			Sold	07/22/11	J	A	
16. Templeton Global Bond Fund IRA	B	Dividend			Sold	07/22/11	J	A	
17. Vanguard Healthcare Fund IRA	B	Dividend	K	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 J ~\$15,000 or less (See Columns C1 and D3)	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	N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000 (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 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)

18. JP Morgan Liquid Assets MMkt Investor (IRA)	A	Int./Div.	M	T	Buy	07/25/11	M		
19. JP Morgan Liquid Assets MMkt Investor (IRA)	A	Int./Div.	J	T	Sold (part)	07/27/11	M	A	
20. JP Morgan Liquid Assets MMkt Investor (IRA)	A	Int./Div.			Sold (part)	07/29/11	J	A	
21. Thornburg Intl Value (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
22. Thornburg Intl Value (IRA)	A	Int./Div.	J	T	Buy (add'l)	08/22/11	J		
23. JP Morgan US Equity Fund (IRA)	A	Int./Div.	K	T	Buy	07/26/11	K		
24. JP Morgan US Equity Fund (IRA)	A	Int./Div.	J	T	Buy (add'l)	08/22/11	J		
25. JP Morgan Emerging Markets (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
26. Pimco Total Return (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
27. Pimco Total Return (IRA)	A	Int./Div.	J	T	Sold (part)	08/22/11	J	A	
28. JP Morgan Core Bond Fund (IRA)	A	Int./Div.			Buy	07/26/11	J		
29. JP Morgan Core Bond Fund (IRA)	A	Int./Div.			Sold	08/22/11	J		
30. JP Morgan Mid Cap Equity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
31. JP Morgan High Yield Bond Fund (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
32. JP Morgan High Yield Bond Fund (IRA)	A	Int./Div.			Sold	08/22/11	J		
33. Delaware Emerging Markets Fund (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
34. T Rowe Price New Income Prospectus (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		

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	

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☐ 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. T Rowe Price New Income Prospectus (IRA)	A	Int./Div.	J	T	Sold (part)	08/22/11	J	A	
36. Oakmark Fund Class I (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
37. Oakmark Fund Class I (IRA)	A	Int./Div.	J	T	Buy (add'l)	08/22/11	J		
38. Wells Fargo Advtg Growth (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
39. JP Morgan International Value Select (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
40. JP Morgan International Value Select (IRA)	A	Int./Div.	J	T	Buy (add'l)	08/22/11	J		
41. JP Morgan Small Cap Equity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
42. Goldman Sachs Small Cap Equity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
43. DWS Blue Chip Fund (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
44. DWS Blue Chip Fund (IRA)	A	Int./Div.	J	T	Buy (add'l)	08/22/11	J		
45. SPDR S&P 500 ETF Trust (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
46. SPDR S&P 500 ETF Trust (IRA)	A	Int./Div.	J	T	Buy (add'l)	08/22/11	J		
47. JP Morgan Real Estate Fund (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
48. Blackrock US Opportunity (IRA)	A	Int./Div.	J	T	Buy	07/27/11	J		
49. Blackrock US Opportunity (IRA)	A	Int./Div.	J	T	Buy (add'l)	12/13/11	J		
50. Oppenheimer Main Street Inc & Growth IRA	A	Dividend			Sold	7/21/11	K	A	
51. Franklin-Templeton Income Fund IRA	B	Dividend			Sold	7/21/11	J	A	

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
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52. Franklin-Templeton US Govt Sec Fund IRA	C	Dividend			Sold	7/21/11	K	A	
53. Franklin Templeton Founding Fund IRA	A	Dividend			Sold	07/21/11	J	A	
54. Templeton BRIC Fund IRA	A	Dividend			Sold	7/21/11	J	A	
55. Templeton Global Bond Fund IRA	A	Dividend			Sold	07/21/11	J	A	
56. JP Morgan Liquid Assets MMkt (IRA)	A	Int./Div.	J	T	Buy	07/19/11	J		
57. JP Morgan Liquid Assets MMkt (IRA)	A	Int./Div.	J	T	Buy (add'l)	07/22/11	L		
58. JP Morgan Liquid Assets MMkt (IRA)	A	Int./Div.	J	T	Sold (part)	07/26/11	L		
59. JP Morgan Liquid Assets MMkt (IRA)	A	Int./Div.			Sold (part)	07/28/11	J		
60. DWS Blue Chip Fund (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
61. T Rowe Price new Income (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
62. American Century Growth (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
63. Goldman Sachs Small Cap Value (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
64. Thornburg Intl Value (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
65. Pimco Total Return (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
66. Oppenheimer Developing Markets (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
67. Aston/Airpointe Mid Cap (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
68. Wells Fargo Advantage Growth (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		

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	
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	(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)
69. SDPR S&P 500 ETF Trust (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
70. Oakmark Fund I (IRA)	A	Int./Div.	J	T	Buy	07/25/11	J		
71. JP Morgan High Yield Bond (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
72. JP Morgan Core Bond (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
73. JP Morgan Small Cap Equity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
74. JP Morgan US Equity Fund (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
75. JP Morgan Emerging Markets Equity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
76. JP Morgan Mid Cap Equity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
77. JP Morgan US Real Estate (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
78. JP Morgan Intl Value (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
79. Blackrock US Opportunity (IRA)	A	Int./Div.	J	T	Buy	07/26/11	J		
80. Blackrock US Opportunity (IRA)	A	Int./Div.	J	T	Buy (add'l)	12/13/11	J		
81. Alcatel Lucent Common Stock IRA	A	Dividend			Sold	06/28/11	J	A	
82. LSI Corp IRA	A	Dividend			Sold	06/28/11	J	A	
83. Citibank Insured Money Market IRA	A	Interest			Closed	06/28/11	J	A	
84. T Rowe Price Personal Strategy Fund 403(b)	A	Dividend	L	T					
85. T Rowe Price Health Sciences Fund 403(b)	C	Dividend	K	T					

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86. T Rowe Price Prime Reserve Fund 403(b)	A	Dividend	K	T					
87. Reform Pension Board Equity Fund 403(b)	B	Dividend	K	T	Buy (add'l)	07/23/11	J		
88. Reform Pension Board Core Bond Fund 403(b)	B	Int./Div.	K	T	Buy (add'l)	07/23/11	J		
89. Commerce National Bank Checking Acct	A	Interest	J	T					
90. Keyspan Common Stock	A	Dividend	J	T					
91. Oppenheimer Equity Fund	B	Dividend			Redeemed	02/15/11	J	A	
92. Citibank Savings Account	A	Interest			Closed	07/11/11	J	A	
93. Chase premium Plus Checking	A	Interest	J	T	Open	07/11/11	J		
94. First Merit Savings Acct	A	Interest	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

I have amended my report in response to the Committee's letter of July 17, 2012. With respect to the Committee's first comment, I have now sequentially listed each transaction involving the same investment. With respect to the Committee's second comment, I realized when reviewing the entries in question that on some occasions I listed the same investment twice but used somewhat different names each time. I am confident that the investments now identified under the same name are in fact the same because I relied upon the fund symbols in my account statements in making my revisions.

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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/ Steven M. Gold

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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