

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Matsumoto, Kiyo A.	2. Court or Organization U.S. District Court (EDNY)	3. Date of Report 03/09/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 225 Cadman Plaza East Brooklyn, NY 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.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board member	
2.	Nominating Committee	New York City Bar Association
3.	Co-trustee	Qualified Trust #1
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. 5/20-21/16	Nat'l Conference of Bar Examiners drafting bar exam	\$3,500.00
2. 12/9/16	Nat'l Conference of Bar Examiners drafting bar exam	\$3,500.00
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. 2016	Teaching, [REDACTED]
2. 2016	Self-employed rentals [REDACTED]
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. National Conference of Bar Examiners	5/20-21	San Francisco, CA	Drafting bar exam	Transportation, meals, lodging
2. National Conference of Bar Examiners	12/9/16	Phoenix, AZ	Drafting bar exam	Transportation, meals, lodging
3. Foreign Ministry of Japan	3/7-13/16	Tokyo and Kobe, Japan	Japanese-American leadership delegation	Transportation, meals and lodging
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.			
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.	Columbia University	Tuition	K
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 IRA & Savings Acct	C	Interest	K	T					
2. Chase Bank, savings and checking	C	Interest	L	T					
3. New England Variable Life merged 1/15 with Met Life (see 4-6)									
4. -For Met Life: Fidelity VIP Eq. Inc.	A	Int./Div.	K	T					
5. -For Met Life: MFS Research Int'l	A	Int./Div.	J	T					
6. -For Met Life: MetLife Asset All 100	A	Int./Div.	K	T					
7. Memorial Partnership (El Cerrito, CA)	D	Rent	L	W					
8. Series EE Savings Bonds	A	Interest	J	T					
9. Charles Schwab IRA/Accts									
10. -1. Colgate Palmolive (common)	A	Int./Div.	J	T	Sold (part)	12/22/16	J	A	
11. -2. Procter & Gamble (common)	A	Int./Div.	J	T	Sold (part)	12/22/16	J	A	
12. -3. Hewlett Packard (common)	A	Int./Div.	J	T	Sold (part)	12/22/16	J	A	
13. -4. Time Warner (common)	A	Int./Div.	J	T					
14. Tax Deferred Retirement Annuity Plan (see 15-24, & 69)									
15. -TIAA Stable Value	C	Int./Div.	M	T					
16. -Vang 500 Idx Adm	B	Int./Div.	K	T					
17. -T. Rowe Inst Lrg Cap Grw	B	Int./Div.	J	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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. -DFA US SmallCap Prtf Inst	B	Int./Div.	K	T					
19. -PIMCO Total Return Instl	D	Int./Div.	L	T					
20. -PIMCO Low Duration Instl	A	Int./Div.	K	T					
21. -T-C Money Market Rmt		None	J	T					
22. -CREF Social Choice R1	C	Int./Div.	K	T					
23. -Vang Target Ret 2010 Inv	A	Int./Div.	J	T					
24. NY State Edu. Fund: Moderate Age Opt., Conserv. Growth	A	Interest	J	T					
25. Charitable Remainder Trust (JP Morgan) (see 27-68)									
26. -1. JP Morgan Deposit Sweep MGD JPMorgan Chase Bank NA	A	Int./Div.	J	T					
27. -2. Abbvie Inc.	A	Int./Div.	J	T	Buy	01/06/16	J		
28. -3. Altria Group Inc.	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
29. -4. American Electric Power	A	Int./Div.	J	T					
30. -5. Astrazeneca PLC	A	Int./Div.	J	T	Buy	07/22/16	J		
31. -6. AT&T	A	Int./Div.	K	T	Buy (add'l)	02/03/16	J		
32. -7. BCE Inc.	A	Int./Div.	J	T	Buy (add'l)	05/17/16	J		
33. -8. BP PLC Sponsored ADR	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
34. -9. Chevron Corp.	A	Int./Div.	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 \$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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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. -10. Coca Cola Co.	A	Int./Div.	J	T	Buy (add'l)	08/03/16	J		
36. -11. Consolidated Edison Inc.	A	Int./Div.	J	T	Buy	01/07/16	J		
37. -12. Crown Castle	A	Int./Div.	J	T	Buy	05/17/16	J		
38. -13. Dominion Resources Inc.	A	Int./Div.	J	T					
39. -14. Duke Energy Corp.	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
40. -15. Exxon Mobil Corp.	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
41. -16. General Mills Inc.	A	Int./Div.	J	T	Sold (part)	08/03/16	J	A	
42. -17. GlaxoSmithKline PLC	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
43. -18. Johnson & Johnson	A	Int./Div.	J	T					
44. -19. Kimberly Clark Corp.	A	Int./Div.	J	T					
45. -20. Kraft Heinz Co.	A	Int./Div.	J	T					
46. -21. McDonalds Corp.	A	Int./Div.	J	T	Buy (add'l)	10/12/16	J		
47. -22. Merck & Co. Inc.	A	Int./Div.	J	T	Buy (add'l)	04/14/16	J		
48. -23. National Grid PLC New	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
49. -24. Novartis AG	A	Int./Div.	J	T	Buy	10/12/16	J		
50. -25. Occidental Pete Corp.	A	Int./Div.	J	T	Buy	10/21/16	J		
51. -26. Pepsico Inc.	A	Int./Div.	J	T					

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52. -27. Philip Morris	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
53. -28. PPL Corp.	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
54. -29. Procter & Gamble Co.	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
55. -30. Reynolds American Inc.	A	Int./Div.			Sold	10/21/16	J	B	
56. -31. Royal Dutch Shell PLC	A	Int./Div.			Sold	01/07/16	J		
57. -32. Sanofi	A	Int./Div.	J	T	Buy (add'l)	02/25/16	J		
58. -33. Southern Co.	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
59. -34. Total SA	A	Int./Div.	J	T	Buy	10/21/16	J		
60. -35. Unilever PLC	A	Int./Div.	J	T	Buy (add'l)	10/19/16	J		
61. -36. Verizon Communications	A	Int./Div.	K	T	Buy (add'l)	01/06/16	J		
62. -37. Vodafone Group PLC	A	Int./Div.	J	T	Buy (add'l)	01/07/16	J		
63. -38. HCP Inc.	A	Int./Div.			Sold	01/06/16	J	A	
64. -39. Omega Healthcare	A	Int./Div.			Sold	05/11/16	J	A	
65. -40. Realty Income Corp.	A	Int./Div.	J	T	Sold (part)	08/03/16	J	A	
66. -41. Ventas Inc.	A	Int./Div.	J	T	Sold (part)	03/09/16	J	A	
67. -42. Welltower Inc.	A	Int./Div.	J	T	Sold (part)	03/09/16	J	A	
68. Bank of America (Y)					Closed				

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
69. -25. American EuroPac Grw R6	A	Int./Div.	J	T					
70.									

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

Part I: The Qualified Personal Residence Trust has no reportable assets.

Part VII. Investments and Trusts

Tax Deferred Retirement Annuity Plan (Items 14-24, and 69) is not self-directed. We do not exercise control over what is purchased or sold or when.

Column B: (Items 15-24 and 69): The quarterly statements for the above do not specify either income or transactions, but state values which are reported. I used the "Gain or Loss" amount to report income in Column B.

Line 23 of my 2015 FDR showed a position in American Funds, EuroPac Grw, in a tax deferred retirement annuity plan, which I inadvertently omitted in my 2016 report. I have added the information on line 69 of this amended report.

The Charitable Remainder Trust (Items 26-67) is not owned by the filer, but the filer receives income annually as a beneficiary. The trust corpus will be donated to charity upon the filer's death. The filer has not chosen or directed the purchase or sale of assets held by the trust. If Column D (4) is blank, it is because there was a loss.

Bank of America: (Item 68). This joint account was opened with our daughter when she went to college between 2009-2013, and she closed the account but does not recall when. There were minimal funds in the account (<\$100).

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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/ **Kiyo A. Matsumoto**

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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Washington, D.C. 20544