

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) Koeltl, John G.	2. Court or Organization U.S.D.C. Southern District-NY	3. Date of Report 05/10/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 United States Courthouse 500 Pearl St. Room 1030 New York, New York 10007-1581		
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. ADJUNCT LAW PROFESSOR	NY UNIVERSITY 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. 2017	NEW YORK UNIVERSITY - TEACHING	\$27,945.00
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.	
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. Institute for the Advancement of the American Legal System (IAALS)	June 27, 2017 - June 29, 2017	Glendale, CO	FSLA Committee meeting	Lodging, meals and travel
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. JOHNSON & JOHNSON - (COMMON)	D	Dividend	M	T					
2. PFIZER INC. - (COMMON)	D	Dividend	M	T					
3. ROYAL DUTCH SHELL PLC - (COMMON)	D	Dividend	L	T					
4. FEDERATED KAUFMANN LARGE CAP FUND CL C - MUTUAL FUND	A	Dividend	K	T					
5. ISHARES RUSSELL 1000 - MUTUAL FUND	A	Dividend	L	T	Buy	12/11/17	L		
6. VANGUARD TOTAL STK MKT EFT FUND	B	Dividend	M	T					
7. MERRILL LYNCH FIA MONEY FUND - N.Y.,N.Y.	A	Interest	K	T	Sold (part)	12/31/17	K		Net Decrease To MM Fund
8. SUFFOLK CTY BOND 4.125% DUE 11/01/21	B	Interest			Redeemed	11/01/17	K		
9. DUTCHESS CTY BOND 4.5% DUE 08/01/26	B	Interest	K	T					
10. NY ST DORM AT RV ST BOND 5% DUE 02/15/27	A	Interest	J	T					
11. NY ST DORM AT RV ST BOND 5% DUE 02/15/24	B	Interest	K	T					
12. NEW YORK NY SUBSER SER C-1 BOND 4.5% DUE 10/01/23	A	Interest			Redeemed	10/02/17	K		
13. N.Y. STATE DORM. AUTH. REV MEM SLOAN BOND 5% DUE 07/01/26	B	Interest	K	T					
14. TRIBOR. BRIDGE & TUNNEL BOND 4.75% DUE 11/15/30	B	Interest	L	T					
15. NEW YORK NY G.O. SUBSER J-1 BOND 5% DUE 05/15/31	B	Interest	L	T					
16. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/36	B	Interest			Redeemed	06/15/17	K		
17. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/37	B	Interest			Redeemed	11/15/17	K		

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 (See Columns C1 and D3)	J = \$15,001 or less N = \$250,001 - \$500,000	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	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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☐ NONE (No reportable income, assets, or transactions.)

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	(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. N.Y. CITY MUN WTR BOND 5% DUE 06/15/38	A	Interest			Redeemed	07/11/17	K		
19. N.Y. STATE HSG FIN AGY BOND 4.9% DUE 11/01/38	B	Interest	L	T					
20. N.Y. CITY MUN ATR BOND 4.5% DUE 06/15/39	B	Interest			Redeemed	06/15/17	L	A	
21. THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29	B	Interest	L	T					
22. N.Y. STATE CLN-DRNG WTR BOND 5% DUE 06/15/36	C	Interest	L	T					
23. NEW YORK ST G.O. SER E OID BOND 4% DUE 12/15/37	B	Interest	L	T					
24. HUDSON YDS INFRA NY BOND 5% DUE 02/15/47	C	Interest			Redeemed	06/30/17	L		
25. HAVERSTRAW NY IMPT BOND 3.50% DUE 03/01/35	B	Interest	L	T					
26. HUDSON YDS INFRA NY BOND 4.50% DUE 02/15/47	C	Interest			Redeemed	06/30/17	M		
27. N.Y. STATE G.O. SER A OID BOND 3.125% DUE 03/15/34	A	Interest	K	T					
28. N.Y. STATE URBAN DEV BOND 3.25% DUE 03/15/33	B	Interest	L	T					
29. SUFFOLK CNTY NY WTR BOND 3.00% DUE 06/01/35	A	Interest			Redeemed	04/24/17	K		
30. MIDDLETOWN NY CITY SCH BOND 3.00% DUE 06/15/35	A	Interest	J	T	Sold (part)	06/12/17	K		
31. TRIBOR. BRIDGE & TUNNEL BOND 3.00% DUE 11/15/35	C	Interest	L	T					
32. NEW YORK NY CITY TRA REV BOND 3.00% DUE 02/01/37	B	Interest	L	T					
33. METROPOLITAN TRANS AUTH NY REV BOND 4.00% DUE 11/15/38		None	L	T	Buy	11/22/17	L		
34. TRIBORO BRIDGE & TUNNEL BOND 4.00% DUE 11/15/42	A	Interest	L	T	Buy	07/12/17	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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☐ 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. NEW YORK NY CITY TFA REV BOND 4.00% DUE 02/01/44		None	L	T	Buy	06/22/17	L		
36. HUDSON YD INFA NY BOND 4.00% DUE 02/15/44 CALL DATE 02/15/17	A	Interest	L	T	Buy	06/15/17	L		
37. HUDSON YD INFA NY BOND 4.00% DUE 02/15/44		None	L	T	Buy	07/11/17	L		
38. NEW YORK NY CITY TFA REV BOND 4.00% DUE 05/01/44	A	Interest	L	T	Buy	06/27/17	L		
39. NY ST DORM AUTH SALES TAX REV SER A BOND 4.00% DUE 03/15/45		None	L	T	Buy	08/15/17	L		
40. NEW YORK ST TWY AUTH GEN REV SER A BOND 5.00% DUE 01/01/46		None	L	T	Buy	10/30/17	L		
41. NY ST DORM AUTH SALES TAX REV SER A BOND 4.00% DUE 03/15/47		None	L	T	Buy	07/25/17	L		
42. CITIBANK CHECKING ACCOUNT - N.Y.,N.Y.		None	J	T					
43. MERRILL LYNCH (IRA ROLLOVER) - ML BANK CASH ACCOUNT	A	Interest	K	T	Sold (part)	12/31/17	K		Net Decrease to MM Fund
44. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP. APPREC. FUND CL Z	E	Dividend	O	T	Spinoff (from line 48)	06/12/17	M		Formerly CL A
45.					Buy (add'l)	12/18/17	K		
46. MERRILL LYNCH (IRA ROLLOVER) - MFS VALUE FUND CL I	C	Dividend	M	T					Formerly CL C
47. MERRILL LYNCH (IRA ROLLOVER) - MAINSTAY LARGE CAP FUND CL C		None			Sold	01/24/17	N		
48. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP APPREC FUND CL C		None			Sold	06/12/17	M		Exch. for CL Z (Line 44)
49. MERRILL LYNCH (IRA ROLLOVER) - OPPENHEIMER DEV. MKTS FUND CL Y	A	Dividend	L	T					Formerly CL C
50. MERRILL LYNCH (IRA ROLLOVER) - FED. KAUFMAN LRG CAP FUND CL IS	C	Dividend	M	T					Formerly CL C

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51. MERRILL LYNCH(IRA ROLLOVER)- ISHARES RUSSELL 1000 FUND	D	Dividend	O	T	Buy (add'l)	01/24/17	L		
52.					Sold (part)	12/11/17	L	E	
53. MERRILL LYNCH(IRA ROLLOVER)- FIRST EAGLE GLOBAL FUND CL I	D	Dividend	M	T					Formerly CL C
54. MERRILL LYNCH(IRA ROLLOVER)- PRUDENTIAL SHORT TERM CORP. BOND FUND Z	B	Dividend	L	T	Buy (add'l)	12/31/17	J		Formerly CL C
55. MERRILL LYNCH(IRA ROLLOVER)- AIG FOCUSED DIV. STRATEGY FUND CL W	E	Dividend	N	T					Formerly SunAmerica CL C
56. MERRILL LYNCH(IRA ROLLOVER)- ISHARES CORE S&P 500 EFT	D	Dividend	N	T	Buy (add'l)	01/24/17	L		
57. MERRILL LYNCH(IRA ROLLOVER)- VANGUARD TOTAL STOCK MARKET ETF	C	Dividend	M	T	Buy (add'l)	01/24/17	L		
58. MERRILL LYNCH(IRA ROLLOVER)- ATT BOND 3% DUE 06/30/22	B	Interest	M	T					
59. MERRILL LYNCH(IRA ROLLOVER)- VERIZON BOND 4.272% DUE 01/15/36	C	Interest	L	T					
60. MERRILL LYNCH(IRA ROLLOVER)- ATT BOND 4.5% DUE 05/15/35	B	Interest	K	T					
61. Mr. & Mrs.MICHAEL NAYLOR, PERSONAL LOAN		None	K	T					
62. MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS)	A	Interest	K	T	Sold (part)	12/31/17	J		Net decrease to MM Fund
63. ALTRIA GROUP INC (COMMON)	D	Dividend	N	T					
64. AMN ELEC POWER CO. (COMMON)	B	Dividend	K	T					
65. AT&T (COMMON)	C	Dividend	L	T					
66. BP PLC SPON ADR (COMMON)	A	Dividend	J	T					

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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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67. CALIFORNIA RESOURCES CORP. (COMMON)		None	J	T					
68. CHEVRON CORP. (COMMON)	A	Dividend	J	T					
69. CONSOLIDATED EDISON INC. (COMMON)	A	Dividend	J	T					
70. DAIMLER A (COMMON)	A	Dividend	J	T					
71. DIEBOLD INC. (COMMON)	A	Dividend	J	T					
72. DOMINION RESOURCES INC. (COMMON)	C	Dividend	L	T					
73. DUKE ENERGY CORP. (COMMON)	A	Dividend	J	T					
74. EDISON INT'L CALIF (COMMON)	A	Dividend	J	T					
75. EXELON CORP. (COMMON)	A	Dividend	J	T					
76. EXXON MOBIL CORP. (COMMON)	B	Dividend	K	T					
77. GENERAL ELECTRIC (COMMON)	A	Dividend	J	T					
78. HERSHEY CO. (COMMON)	A	Dividend	K	T					
79. HESS CORP. (COMMON)	A	Dividend	K	T					
80. HONEYWELL INT'L INC. (COMMON)	A	Dividend	K	T					
81. THE KRAFT/HEINZ CO. (COMMON)	B	Dividend	L	T					
82. MARATHON OIL CORP. (COMMON)	A	Dividend	J	T					
83. MONDELEZ INTERNATIONAL INC. (COMMON)	C	Dividend	M	T					

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84. EVERSOURCE ENERGY (COMMON)	A	Dividend	J	T					
85. OCCIDENTAL PETROLEUM CORP. CAL (COMMON)	B	Dividend	K	T					
86. PHILIP MORRIS INT'L INC. (COMMON)	E	Dividend	N	T					
87. PUBLIC SERVICE ENTERPRISE GROUP (COMMON)	C	Dividend	L	T					
88. ROCKWELL AUTOMATION INC. (COMMON)	A	Dividend	L	T					
89. ROCKWELL COLLINS INC. (COMMON)	A	Dividend	K	T					
90. SOUTHERN COMPANY (COMMON)	A	Dividend	K	T					
91. ENBRIDGE INC. (COMMON)	B	Dividend	K	T					Formerly Spectra Energy
92. VERIZON COMM. (COMMON)	C	Dividend	L	T					
93. DEUTSCHE NY TAX FREE INCOME FUND CL A (MUTUAL FUND)	A	Dividend	J	T					
94. ISHARES RUSSELL 1000 FUND	B	Dividend	M	T					
95. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND)	A	Dividend	J	T					
96. WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)	A	Dividend	J	T					
97. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND C (MUTUAL FUND)	B	Dividend	L	T					
98.									

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Name of Person Reporting

Koeltl, John G.

Date of Report

05/10/2018

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

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Name of Person Reporting

Koeltl, John G.

Date of Report

05/10/2018

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/ **John G. Koeltl**

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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One Columbus Circle, N.E.
Washington, D.C. 20544