

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 06/16/2015
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 01/01/2014 to 12/31/2014
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. 2014	NEW YORK UNIVERSITY - TEACHING	\$26,955.00
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. University of Illinois School of Law	April 7,2014 - April 9,2014	Champaign, IL	Participant - Moot Court	Lodging, meals and travel
2. American Bar Association	Augaust 7,2014 - Augaust 8,2014	Boston, MA	ABA Conference 2014 Annual meeting - Litigation section	Lodging, meals and travel
3. Georgetown Law School	November 19,2014 - November 20,2014	McLean, VA	Speaker - Advanced E-Discovery program	Lodging, meals and travel
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.		
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	Donated (part)				
2. PFIZER INC. - (COMMON)	C	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	J	T					
5. FRANKLIN INCOME FUND CL C - MUTUAL FUND	C	Dividend	L	T	Sold (part)	09/16/14	K	C	
6. OPPENHEIMER DEV. MARKETS FUND CL C - MUTUAL FUND	B	Dividend	L	T					
7. TEMPLETON GLOBAL BOND FUND CL C - MUTUAL FUND		None			Sold	03/24/14	M		
8. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A - MUTUAL FUND	D	Dividend	L	T	Sold (part)	01/28/14	K		
9.					Sold (part)	04/28/14	K		
10.					Sold (part)	11/11/14	K		
11.					Sold (part)	12/22/14	K		
12. VANGUARD TOTAL STK MKT EFT FUND	A	Dividend	L	T	Buy	07/23/14	L		
13. MERRILL LYNCH FIA MONEY FUND - N.Y., N.Y.	A	Interest	L	T	Buy (add'l)	12/31/14	K		Net Increase To MM Fund
14. N.Y. STATE ENGY RESH BOND 5.5% DUE 01/01/21	C	Interest	L	T					
15. SUFFOLK CTY BOND 4.125% DUE 11/01/21	B	Interest	L	T					
16. DUTCHESS CTY BOND 4.5% DUE 08/01/26	B	Interest	L	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 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	Q = Appraisal (See Column C2)	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)
17. NY ST DORM AT RV ST BOND 5% DUE 02/15/24	B	Interest	K	T					
18. NY ST DORM AT RV ST BOND 5% DUE 02/15/27	B	Interest	L	T					
19. NEW YORK ST HFA PERS INC BOND 5% DUE 09/15/30	B	Interest	K	T					
20. NEW YORK NY SUBSER SER C-1 BOND 4.5% DUE 10/01/23	B	Interest	K	T					
21. N.Y. STATE DORM. AUTH. REV MEM SLOAN BOND 5% DUE 07/01/26	B	Interest	K	T					
22. TRIBOR. BRIDGE & TUNNEL BOND 4.75% DUE 11/15/30	B	Interest	L	T					
23. NEW YORK NY SUBSER J-1 BOND 5% DUE 05/15/31	B	Interest	L	T					
24. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/36	B	Interest	L	T					
25. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/37	C	Interest	L	T					
26. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/37	C	Interest	L	T					
27. N.Y. CITY MUN WTR BOND 5% DUE 06/15/38	B	Interest	L	T					
28. N.Y. STATE HSG FIN AGY BOND 4.9% DUE 11/01/38	B	Interest	L	T					
29. N.Y. CITY MUN ATR BOND 4.5% DUE 06/15/39	C	Interest	M	T					
30. LONG ISLAND PWR AUTH NY BOND 4.25% DUE 05/01/33	B	Interest	K	T					
31. THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29	B	Interest	L	T					
32. N.Y. STATE CLN-DRNG WTR BOND 5% DUE 06/15/36	C	Interest	L	T					
33. NEW YORK ST SER E OID BOND 4% DUE 12/15/37	B	Interest	L	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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34. HUDSON YDS INFRA NY BOND 5% DUE 02/15/47	C	Interest	M	T					
35. HAVERSTRAW NY IMPT BOND 3.50% DUE 06/15/34	B	Interest	L	T					
36. HUDSON YDS INFRA NY BOND 4.50% DUE 02/15/47	B	Interest	M	T	Buy	03/24/14	M		
37. CITIBANK CHECKING ACCOUNT - N.Y., N.Y.		None	J	T					
38. MERRILL LYNCH (IRA ACCOUNT)- FEDERATED KAUFMANN LARGE CAP FUND CL C		None			Merged (with line 48)	08/14/14	J		Trf. to Rollover IRA acct.
39. MERRILL LYNCH (IRA ROLLOVER) - ML BANK CASH ACCOUNT	A	Interest	M	T	Sold (part)	12/31/14	L		Net Decrease to MM Fund
40. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP. APPREC. FUND CL A	E	Dividend	M	T	Buy (add'l)	12/19/14	K		
41. MERRILL LYNCH (IRA ROLLOVER) - MFS VALUE FUND CL C	C	Dividend	L	T					
42. MERRILL LYNCH (IRA ROLLOVER)- MAINSTAY LARGE CAP FUND CL C	E	Dividend	N	T	Buy (add'l)	12/05/14	K		
43. MERRILL LYNCH (IRA ROLLOVER)- ALGER CAP APPREC FUND CL C	E	Dividend	M	T	Buy (add'l)	12/19/14	K		
44. MERRILL LYNCH (IRA ROLLOVER)- LOOMIS SAYLES INV BOND FD CL C	D	Dividend	M	T					
45. MERRILL LYNCH (IRA ROLLOVER)- PIMCO COMM RR STRATEGY FD CL C	A	Dividend	K	T					
46. MERRILL LYNCH (IRA ROLLOVER)- BLACKROCK GLOBAL ALLOC FUND C		None			Sold	01/31/14	M	D	
47. MERRILL LYNCH (IRA ROLLOVER)- OPPENHEIMER DEV. MKTS FUND CL C	A	Dividend	K	T					
48. MERRILL LYNCH (IRA ROLLOVER)- FED. KAUFMAN LRG CAP FUND CL C	D	Dividend	M	T	Buy (add'l)	08/14/14	J		Trf. from IRA acct.
49. MERRILL LYNCH (IRA ROLLOVER)- OPPENHEIMER RISING DIV FUND CL C		None			Sold	01/13/14	M	D	

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50. MERRILL LYNCH(IRA ROLLOVER)- ISHARES RUSSELL 1000 FUND	C	Dividend	N	T	Buy (add'l)	01/31/14	L		
51. MERRILL LYNCH(IRA ROLLOVER)- TEMPLETON GLOBAL BOND FUND CL C	C	Dividend	L	T					
52. MERRILL LYNCH(IRA ROLLOVER)- FIRST EAGLE GLOBAL FUND CL C	D	Dividend	M	T	Buy	01/31/14	M		
53. MERRILL LYNCH(IRA ROLLOVER)- LORD ABBOTT MULTI ASSET INCOME FUND C	C	Dividend	L	T	Buy	02/05/14	K		
54.					Buy (add'l)	12/24/14	J		
55. MERRILL LYNCH(IRA ROLLOVER)- PRUDENTIAL SHORT TERM CORP. BOND FUND C	A	Dividend	K	T	Buy	02/05/14	K		
56.					Buy (add'l)	12/24/14	J		
57. MERRILL LYNCH(IRA ROLLOVER)- SUNAMERICA FOCUSED DIV. STRATEGY FUND CLC	E	Dividend	M	T	Buy	01/31/14	M		
58. Mr. & Mrs.MICHAEL NAYLOR, PERSONAL LOAN		None	K	T	Buy	11/12/14	K		
59. MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS)	A	Interest	K	T	Buy (add'l)	12/31/14	J		Net increase to MM Fund
60. NEW YORK NY SER P BOND 4.25% DUE 08/01/25	A	Interest	J	T					
61. ALTRIA GROUP INC (COMMON)	D	Dividend	M	T					
62. AMN ELEC POWER CO. (COMMON)	B	Dividend	K	T					
63. AT&T (COMMON)	B	Dividend	K	T					
64. BP PLC SPON ADR (COMMON)	A	Dividend	J	T					
65. CALIFORNIA RESOURCES CORP. (COMMON)		None	J	T	Spinoff (from line 85)	11/30/14	J		Spinoff from Occidental

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66. CHEVRON CORP. (COMMON)	A	Dividend	J	T					
67. CONSOLIDATED EDISON INC. (COMMON)	A	Dividend	J	T					
68. DE MASTERS BLENDERS (COMMON)	A	Dividend			Sold	04/25/14	J	B	
69. DAIMLER A (COMMON)	A	Dividend	J	T					
70. DIEBOLD INC. (COMMON)	A	Dividend	J	T					
71. DOMINION RESOURCES INC. (COMMON)	B	Dividend	K	T					
72. DUKE ENERGY CORP. (COMMON)	A	Dividend	J	T					
73. EDISON INT'L CALIF (COMMON)	A	Dividend	J	T					
74. EXELON CORP. (COMMON)	A	Dividend	J	T					
75. EXXON MOBIL CORP. (COMMON)	B	Dividend	K	T					
76. GENERAL ELECTRIC (COMMON)	A	Dividend	J	T					
77. HERSHEY CO. (COMMON)	A	Dividend	K	T					
78. HESS CORP. (COMMON)	A	Dividend	K	T					
79. HILLSHIRE BRANDS CO. (COMMON)	A	Dividend			Sold	09/03/14	J	C	
80. HONEYWELL INT'L INC. (COMMON)	A	Dividend	K	T					
81. KRAFT FOODS INC. (COMMON)	B	Dividend	L	T					
82. MARATHON OIL CORP. (COMMON)	A	Dividend	J	T					

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83. MONDELEZ INTERNATIONAL INC. (COMMON)	B	Dividend	M	T					
84. NORTHEAST UTILITIES (COMMON)	A	Dividend	J	T					
85. OCCIDENTAL PETROLEUM CORP. CAL (COMMON)	A	Dividend	K	T	Sold (part)	11/30/14	J		Spinoff - see line 65
86. PEPSCO HOLDINGS INC. (COMMON)	A	Dividend	J	T					
87. PHILIP MORRIS INT'L INC. (COMMON)	E	Dividend	N	T					
88. PUBLIC SERVICE ENTERPRISE GROUP (COMMON)	B	Dividend	L	T					
89. ROCKWELL AUTOMATION INC. (COMMON)	A	Dividend	K	T					
90. ROCKWELL COLLINS INC. (COMMON)	A	Dividend	K	T					
91. SOUTHERN COMPANY (COMMON)	A	Dividend	K	T					
92. SPECTRA ENERGY CORP. (COMMON)	B	Dividend	K	T					
93. VERIZON COMM. (COMMON)	D	Dividend	K	T	Buy (add'l)	02/28/14	J		
94. VODAPHONE GROUP PLC (COMMON)	D	Dividend	K	T					
95. DEUTSCHE NY TAX FREE INCOME FUND CL A (MUTUAL FUND)	A	Dividend	J	T					Formerly DWS NY Tax Free
96. FEDERATED FUND FOR U.S. GOV'T SECURITIES CL A (MUTUAL FUND)	A	Dividend	K	T					
97. FEDERATED MUNICIPAL SECURITIES FUND CL A (MUTUAL FUND)	B	Dividend	K	T					
98. FRANKLIN U.S. GOV'T SECURITIES FUND CL C (MUTUAL FUND)	A	Dividend	J	T					
99. FRANKLIN U.S. GOV'T SECURITIES FUND CL A (MUTUAL 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 \$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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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)
100. ISHARES RUSSELL 1000 FUND	A	Dividend	L	T	Buy	01/31/14	J		
101.					Buy (add'l)	04/28/14	K		
102.					Buy (add'l)	07/23/14	K		
103.					Buy (add'l)	09/16/14	J		
104. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND)	A	Dividend	J	T					
105. WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)	A	Dividend	J	T					
106. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND C (MUTUAL FUND)	C	Dividend	L	T					
107.									

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.)*

In response to the letter of inquiry received from the Committee on 06/16/15 regarding the matching of assets reported on the 2014 report to asset reporting on the 2013 report, the following information is being supplied to resolve the issue:

Assets reported on lines 121-162 on the 2013 report can be matched to assets reported on the 2014 report lines 59-105.

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