

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Koeltl, John G.                                                                                                       | <b>2. Court or Organization</b><br><br>U.S.D.C. Southern District-NY                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>04/24/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Active                                   | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>500 Pearl St. Room 1030<br>New York, New York 10007-1581                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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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Name of Person Reporting

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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><br>(yours, not spouse's) |
|-------------|--------------------------------|----------------------------------------|
| 1. 2016     | NEW YORK UNIVERSITY - TEACHING | \$27,255.00                            |
| 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) | February 24,2016 - February 27,2016   | Denver, CO      | 4th Civil Justice Reform Summit | Lodging, meals and travel     |
| 2. Institute for Law and Economic Policy                              | April 7,2016- April 8,2016            | Miami, FL       | Symposium Participant           | Lodging, meals and travel     |
| 3. Institute for the Advancement of the American Legal System (IAALS) | April 21,2016 - April 22,2016         | Denver, CO      | Rebuilding Justice Awards Diner | Lodging, meals and travel     |
| 4. University of Baltimore School of Law                              | September 23,2016 - September 23,2016 | Baltimore, MD   | Federal Rules Conference        | Travel                        |

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| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Koeltl, John G.          | 04/24/2017     |

|    |                                          |                                         |             |                                  |                           |
|----|------------------------------------------|-----------------------------------------|-------------|----------------------------------|---------------------------|
| 5. | Northwestern University<br>School of Law | Novemeber 15,2016 -<br>November 17,2016 | Chicago, IL | Complex Litigation<br>Conference | Lodging, meals and travel |
|----|------------------------------------------|-----------------------------------------|-------------|----------------------------------|---------------------------|

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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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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "X" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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       |   | None     | J | T |             |          |   |   |                         |
| 5. FRANKLIN INCOME FUND CL C - MUTUAL FUND                    | A | Dividend |   |   | Sold        | 01/21/16 | K |   |                         |
| 6. OPPENHEIMER DEV. MARKETS FUND CL C - MUTUAL FUND           |   | None     |   |   | Sold        | 01/21/16 | K | D |                         |
| 7. VANGUARD TOTAL STK MKT EFT FUND                            | B | Dividend | L | T |             |          |   |   |                         |
| 8. MERRILL LYNCH FIA MONEY FUND - N.Y.,N.Y.                   | A | Interest | L | T | Buy (add'l) | 12/31/16 | K |   | Net Increase To MM Fund |
| 9. N.Y. STATE ENGY RESH BOND 5.5% DUE 01/01/21                | B | Interest |   |   | Redeemed    | 04/25/16 | K | A |                         |
| 10. SUFFOLK CTY BOND 4.125% DUE 11/01/21                      | B | Interest | L | T |             |          |   |   |                         |
| 11. DUTCHESS CTY BOND 4.5% DUE 08/01/26                       | B | Interest | K | T |             |          |   |   |                         |
| 12. NY ST DORM AT RV ST BOND 5% DUE 02/15/27                  | B | Interest | J | T | Sold (part) | 03/23/16 | K | B |                         |
| 13. NY ST DORM AT RV ST BOND 5% DUE 02/15/24                  | B | Interest | K | T |             |          |   |   |                         |
| 14. NEW YORK NY SUBSER SER C-1 BOND 4.5% DUE 10/01/23         | B | Interest | K | T |             |          |   |   |                         |
| 15. N.Y. STATE DORM. AUTH. REV MEM SLOAN BOND 5% DUE 07/01/26 | B | Interest | K | T |             |          |   |   |                         |
| 16. TRIBOR. BRIDGE & TUNNEL BOND 4.75% DUE 11/15/30           | B | Interest | L | T |             |          |   |   |                         |
| 17. NEW YORK NY SUBSER J-1 BOND 5% DUE 05/15/31               | B | Interest | L | T |             |          |   |   |                         |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/36                                                                               | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/37                                                                               | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/15/16                | K                               | B                              |                                                                   |
| 20. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/37                                                                            | C                                       | Interest                                      | K                                               | T                                         | Sold (part)                                     | 03/23/16                | K                               | A                              |                                                                   |
| 21. N.Y. CITY MUN WTR BOND 5% DUE 06/15/38                                                                                  | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. N.Y. STATE HSG FIN AGY BOND 4.9% DUE 11/01/38                                                                           | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. N.Y. CITY MUN ATR BOND 4.5% DUE 06/15/39                                                                                | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. LONG ISLAND PWR AUTH NY BOND 4.25% DUE 05/01/33                                                                         | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 11/01/16                | K                               | A                              |                                                                   |
| 25. THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29                                                                           | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 26. N.Y. STATE CLN-DRNG WTR BOND 5% DUE 06/15/36                                                                            | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. NEW YORK ST SER E OID BOND 4% DUE 12/15/37                                                                              | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. HUDSON YDS INFRA NY BOND 5% DUE 02/15/47                                                                                | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. HAVERSTRAW NY IMPT BOND 3.50% DUE 06/15/34                                                                              | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. HUDSON YDS INFRA NY BOND 4.50% DUE 02/15/47                                                                             | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. N.Y. STATE SER A OID BOND 3.125% DUE 03/15/34                                                                           | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 32. N.Y. STATE URBAN DEV BOND 3.25% DUE 03/15/33                                                                            | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/23/16                | L                               |                                |                                                                   |
| 33. SUFFOLK CNTY NY WTR BOND 3.00% DUE 06/01/35                                                                             |                                         | None                                          | K                                               | T                                         | Buy                                             | 10/24/16                | K                               |                                |                                                                   |
| 34. MIDDLETOWN NY CITY SCH BOND 3.00% DUE 06/15/35                                                                          | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 06/16/16                | L                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. TRIBOR. BRIDGE & TUNNEL BOND<br>3.00% DUE 11/15/35                                                                      | B                                       | Interest                                      | L                                               | T                                         | Buy                                             | 01/26/16                | L                               |                                |                                                                   |
| 36. NEW YORK NY CITY TRA REV BOND<br>3.00% DUE 02/01/37                                                                     | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 04/25/16                | L                               |                                |                                                                   |
| 37. CITIBANK CHECKING ACCOUNT -<br>N.Y.,N.Y.                                                                                |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. MERRILL LYNCH (IRA ROLLOVER) -<br>ML BANK CASH ACCOUNT                                                                  | A                                       | Interest                                      | K                                               | T                                         | Sold<br>(part)                                  | 12/31/16                | M                               |                                | Net Decrease to MM<br>Fund                                        |
| 39. MERRILL LYNCH (IRA ROLLOVER) -<br>ALGER CAP. APPREC. FUND CL A                                                          | B                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 12/15/16                | J                               |                                |                                                                   |
| 40. MERRILL LYNCH (IRA ROLLOVER) -<br>MFS VALUE FUND CL C                                                                   | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. MERRILL LYNCH (IRA ROLLOVER)-<br>MAINSTAY LARGE CAP FUND CL C                                                           | E                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 12/06/16                | K                               |                                |                                                                   |
| 42.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/17/16                | L                               | E                              |                                                                   |
| 43. MERRILL LYNCH (IRA ROLLOVER)-<br>ALGER CAP APPREC FUND CL C                                                             | B                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 12/15/16                | J                               |                                |                                                                   |
| 44. MERRILL LYNCH (IRA ROLLOVER)-<br>OPPENHEIMER DEV. MKTS FUND CL C                                                        |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. MERRILL LYNCH (IRA ROLLOVER)-<br>FED. KAUFMAN LRG CAP FUND CL C                                                         |                                         | None                                          | M                                               | T                                         | Sold<br>(part)                                  | 10/17/16                | L                               | E                              |                                                                   |
| 46. MERRILL LYNCH (IRA ROLLOVER)-<br>ISHARES RUSSELL 1000 FUND                                                              | D                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 10/17/16                | L                               |                                |                                                                   |
| 47. MERRILL LYNCH (IRA ROLLOVER)-<br>TEMPLETON GLOBAL BOND FUND CL<br>C                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/13/16                | L                               |                                |                                                                   |
| 48. MERRILL LYNCH (IRA ROLLOVER)-<br>FIRST EAGLE GLOBAL FUND CL C                                                           | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. MERRILL LYNCH (IRA ROLLOVER)-<br>LORD ABBOTT MULTI ASSET INCOME<br>FUND C                                               | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 07/01/16                | J                               |                                |                                                                   |
| 50.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 07/13/16                | L                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 51. MERRILL LYNCH(IRA ROLLOVER)-<br>PRUDENTIAL SHORT TERM CORP.<br>BOND FUND C                                              | A                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 12/01/16                | J                               |                                |                                                                   |
| 52. MERRILL LYNCH(IRA ROLLOVER)-<br>SUNAMERICA FOCUSED DIV.<br>STRATEGY FUND CLC                                            | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. MERRILL LYNCH(IRA ROLLOVER)-<br>ISHARES CORE S&P 500 EFT                                                                | C                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 07/13/16                | M                               |                                |                                                                   |
| 54.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/17/16                | L                               |                                |                                                                   |
| 55. MERRILL LYNCH(IRA ROLLOVER)-<br>VANGUARD TOTAL STOCK MARKET<br>ETF                                                      | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. MERRILL LYNCH(IRA ROLLOVER)-<br>ATT BOND 3% DUE 06/30/22                                                                | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. MERRILL LYNCH(IRA ROLLOVER)-<br>VERIZON BOND 4.272% DUE 01/15/36                                                        | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. MERRILL LYNCH(IRA ROLLOVER)-<br>ATT BOND 4.5% DUE 05/15/35                                                              | B                                       | Interest                                      | K                                               | T                                         | Buy                                             | 04/12/16                | L                               |                                |                                                                   |
| 59. Mr. & Mrs.MICHAEL NAYLOR,<br>PERSONAL LOAN                                                                              |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. MERRILL LYNCH MONEY MARKET<br>ACCOUNTS (MONEY MARKET FUNDS)                                                             |                                         | None                                          | K                                               | T                                         | Buy<br>(add'l)                                  | 12/31/16                | J                               |                                | Net increase to MM<br>Fund                                        |
| 61. ALTRIA GROUP INC ( COMMON)                                                                                              | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. AMN ELEC POWER CO. (COMMON)                                                                                             | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. AT&T (COMMON)                                                                                                           | C                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 03/16/16                | K                               |                                |                                                                   |
| 64. BP PLC SPON ADR (COMMON)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. CALIFORNIA RESOURCES CORP.<br>(COMMON)                                                                                  |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. CHEVRON CORP (COMMON)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Koeltl, John G.

Date of Report

04/24/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                             |   |          |   |   |             |          |   |  |  |
|---------------------------------------------|---|----------|---|---|-------------|----------|---|--|--|
| 67. CONSOLIDATED EDISON INC. (COMMON)       | A | Dividend | J | T |             |          |   |  |  |
| 68. DAIMLER A (COMMON)                      | A | Dividend | J | T |             |          |   |  |  |
| 69. DIEBOLD INC. (COMMON)                   | A | Dividend | J | T |             |          |   |  |  |
| 70. DOMINION RESOURCES INC. (COMMON)        | C | Dividend | L | T | Buy (add'l) | 03/16/16 | K |  |  |
| 71. DUKE ENERGY CORP. (COMMON)              | A | Dividend | J | T |             |          |   |  |  |
| 72. EDISON INT'L CALIF (COMMON)             | A | Dividend | J | T |             |          |   |  |  |
| 73. EXELON CORP. (COMMON)                   | A | Dividend | J | T |             |          |   |  |  |
| 74. EXXON MOBIL CORP. (COMMON)              | B | Dividend | K | T |             |          |   |  |  |
| 75. GENERAL ELECTRIC (COMMON)               | A | Dividend | K | T |             |          |   |  |  |
| 76. HERSHEY CO. (COMMON)                    | A | Dividend | K | T |             |          |   |  |  |
| 77. HESS CORP. (COMMON)                     | A | Dividend | K | T |             |          |   |  |  |
| 78. HONEYWELL INT'L INC. (COMMON)           | A | Dividend | K | T |             |          |   |  |  |
| 79. THE KRAFT/HEINZ CO. (COMMON)            | C | Dividend | L | T |             |          |   |  |  |
| 80. MARATHON OIL CORP. (COMMON)             | A | Dividend | J | T |             |          |   |  |  |
| 81. MONDELEZ INTERNATIONAL INC. (COMMON)    | B | Dividend | M | T |             |          |   |  |  |
| 82. EVERSOURCE ENERGY (COMMON)              | A | Dividend | J | T |             |          |   |  |  |
| 83. OCCIDENTAL PETROLEUM CORP. CAL (COMMON) | B | Dividend | K | T |             |          |   |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Koeltl, John G.

Date of Report

04/24/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 84. PEPCO HOLDINGS INC. (COMMON)                                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 03/28/16                | J                               | A                              |                                                                   |
| 85. PHILIP MORRIS INT'L INC. (COMMON)                                                                                       | E                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 86. PUBLIC SERVICE ENTERPRISE GROUP (COMMON)                                                                                | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. ROCKWELL AUTOMATION INC. (COMMON)                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. ROCKWELL COLLINS INC. (COMMON)                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. SOUTHERN COMPANY (COMMON)                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 90. SPECTRA ENERGY CORP. (COMMON)                                                                                           | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. VERIZON COMM. (COMMON)                                                                                                  | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 92. DEUTSCHE NY TAX FREE INCOME FUND CL A (MUTUAL FUND)                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. FEDERATED FUND FOR U.S. GOV'T SECURITIES CL A (MUTUAL FUND)                                                             |                                         | None                                          |                                                 |                                           | Sold                                            | 03/16/16                | K                               |                                |                                                                   |
| 94. FEDERATED MUNICIPAL SECURITIES FUND CL A (MUTUAL FUND)                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/16/16                | K                               | A                              |                                                                   |
| 95. FRANKLIN U.S. GOV'T SECURITIES FUND CL C (MUTUAL FUND)                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/16/16                | J                               |                                |                                                                   |
| 96. FRANKLIN U.S. GOV'T SECURITIES FUND CL A (MUTUAL FUND)                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/16/16                | K                               |                                |                                                                   |
| 97. ISHARES RUSSELL 1000 FUND                                                                                               | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND)                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 99. WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Koehl, John G.

Date of Report

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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.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 100. OPPEN. ROCHESTER LIMITED TERM<br>NY MUNI BOND FUND C (MUTUAL<br>FUND)                                                  | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 101.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

|                                                        |                                         |
|--------------------------------------------------------|-----------------------------------------|
| <b>Name of Person Reporting</b><br><br>Koeltl, John G. | <b>Date of Report</b><br><br>04/24/2017 |
|--------------------------------------------------------|-----------------------------------------|

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Koeltl, John G.

Date of Report

04/24/2017

## 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