

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) Gold, Steven M.	2. Court or Organization U.S. District Court EDNY	3. Date of Report 10/22/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. District Court 225 Cadman Plaza East Chambers 1217S Brooklyn, New York 11201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	P/time Adjunct Prof. of Law	Brooklyn Law School
2.	Board Member	██████████, Treasurer ██████████
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Salary/Adj Prof of Law/Brooklyn Law School	\$27,225.00
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. 2017	Salary/Executive Director, Brooklyn Heights Synagogue, Brooklyn.. NY
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
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. CHASE CHECKING	A	Interest	J	T					
2. CHASE PLUS SAVING	A	Interest	K	T					
3. CHASE DYNAMIC YIELD STRAT.									
4. - JPM Tr I MLT SC Inc Fund/JPM Unconstrained Debt Fund	A	Int./Div.			Sold (part)	02/09/17	J	A	
5.					Sold (part)	05/02/17	J	A	
6.					Sold	05/03/17	J	A	
7. - Harbor Convertible Sec	A	Int./Div.			Sold (part)	02/06/17	J		
8.					Sold (part)	03/30/17	J	A	
9.					Sold (part)	05/19/17	J	A	
10.					Sold	07/19/17	J	A	
11. -SIT Dividend Growth	A	Int./Div.	J	T	Sold (part)	08/10/17	J	A	
12.					Sold (part)	12/15/17	J	A	
13. -Ridgeworth SEIX Floating	A	Int./Div.			Sold (part)	10/24/17	J	A	
14.					Sold (part)	10/27/17	J	A	
15.					Sold (part)	11/01/17	J	A	
16.					Sold	11/06/17	J	A	
17. -Matthews Asia Dividend	A	Int./Div.	J	T	Sold (part)	12/15/17	J	A	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 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. - Blackrock High Yield Bond	A	Int./Div.	J	T	Sold (part)	12/08/17	J	A	
19. -Cohen & Steers Pref's Sec & Inc	A	Int./Div.	J	T	Sold (part)	12/15/17	J	A	
20. - Doubleline Total Return	A	Int./Div.	K	T	Buy (add'l)	01/09/17	J		
21.					Sold (part)	04/12/17	J	A	
22.					Sold (part)	08/22/17	J	A	
23.					Sold (part)	12/15/17	J	A	
24. - TRP Inst Floating Rate	A	Int./Div.	J	T	Sold (part)	12/08/17	J	A	
25.					Sold (part)	12/15/17	J	A	
26. -Metropolitan West Funds	A	Int./Div.	K	T	Sold (part)	12/15/17	J	A	
27. Lord Abbett Invst Tr	A	Int./Div.	K	T	Sold (part)	04/12/17	J	A	
28.					Buy (add'l)	09/27/17	J		
29.					Buy (add'l)	10/24/17	J		
30.					Sold (part)	12/15/17	J	A	
31. BMO Pyrford Intl Stock	A	Int./Div.			Sold	04/27/17	J	A	
32. Credit Suisse Warburg Pines High Inc	A	Int./Div.	J	T					
33. Pimco Unconstrained Bond	A	Int./Div.	J	T	Sold (part)	12/15/17	J	A	
34. John Hancock L/C Equity	A	Int./Div.	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 \$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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	(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. Credit Suisse Floatig Rate High Inc	A	Int./Div.			Sold (part)	12/08/17	J	A	
36.					Sold	12/15/17	J	A	
37. Federated Inst Hi Yld Bond	A	Int./Div.	J	T	Sold (part)	12/15/17	J	A	
38. Pimco High Yield FD-P	A	Int./Div.	J	T	Buy (add'l)	12/08/17	J		
39.					Sold (part)	12/15/17	J	A	
40. Nuveen Inv't Tr V Pfd Secs C1 R	A	Int./Div.	J	T	Buy (add'l)	02/09/17	J		
41.					Buy (add'l)	10/13/17	J		
42.					Sold (part)	12/15/17	J	A	
43. American Beacon GLG TR	A	Int./Div.	J	T	Buy	02/09/17	J		
44.					Buy (add'l)	03/30/17	J		
45.					Buy (add'l)	10/31/17	J		
46.					Sold (part)	12/15/17	J	A	
47. Vanguard Intl Equity FTSE Europe ETF	A	Int./Div.	J	T	Buy	04/28/17	J		
48. John Hancock II Str Inc I	A	Interest	J	T	Buy	05/02/17	J		
49.					Buy (add'l)	05/03/17	J		
50.					Buy (add'l)	09/27/17	J		
51.					Sold (part)	12/15/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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52. Pimco Mortgage Opportunities	A	Int./Div.	J	T	Buy	05/18/17	J		
53.					Buy (add'l)	05/19/17	J		
54.					Buy (add'l)	08/17/17	J		
55. Muzinich Low Durat- Supr Inst	A	Int./Div.	J	T	Buy	07/19/17	J		
56.					Buy (add'l)	08/22/17	J		
57.					Buy (add'l)	10/24/17	J		
58.					Sold (part)	12/15/17	J	A	
59. Metropolitan West t/r	A	Int./Div.	J	T	Buy	08/22/17	J		
60. Voya Floating Rate	A	Int./Div.	J	T	Sold (part)	12/15/17	J	A	
61. MFS Ser Tr III Muni	A	Dividend	J	T	Buy	12/21/17	J		
62. VANGUARD HEALTHCARE FUND IRA	A	Dividend	L	T					
63. T ROWE PRICE RTMNT. PLAN									
64. - T Rowe Price Personal Strategy Fund 403(b)	D	Dividend	M	T					
65. - T Rowe Price Health Sciences Fund 403(b)	E	Dividend	M	T					
66. - T Rowe Price Prime Reserve Fund 403(b)	A	Dividend	K	T					
67. REFORM PENSION BOARD 403(b)									
68. -Ref. Pens Bd. Appren & Inc. Fund 403(b)	E	Int./Div.	N	T	Buy (add'l)	01/31/17	J		

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69.					Buy (add'l)	04/29/17	J		
70.					Buy (add'l)	08/03/17	J		
71.					Buy (add'l)	10/18/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1) Lines 3, 63, and 67 are headers.

2) With respect to the asset described in Section VII on lines 6 and 7 of my 2016 annual report, Harbor High Yield Bond, I reported two partial sales in 2016 and no transactions during 2017 or holding as of the end of 2017. I therefore infer that the second partial sale reported in 2016 was in fact a final complete sale, or that there were additional sales during 2017 in increments of less than \$1000.

on June as Columbia Conv Sec Z (J), I report a sale this year but did not report an acquisition or holding last year. I infer that the asset was acquired in a transaction of less than \$1000 and that I inadvertently neglected to include it in my prior report.

3) With respect to the asset described in Section VII on line 16 of my 2016 annual report, I report no transactions during 2016 or 2017, and no holdings at the end of 2017. I therefore infer that the asset was sold during 2017 in increments of less than \$1000.

4) This note was not in my original report and is added to this amended report in response to the Committee's letter of inquiry dated October 16, 2018. This added note concerns an asset called "Voya Floating Rate" which is listed in Part VII online 60. The Committee's letter points out that I did not list ownership of this asset in my 2016 report. I have consulted with my bank and learned that I acquired this asset in 2013. I apparently failed to report the acquisition through oversight. I was also advised that, although I reported the sale of the asset on line 60 without noting it, I still own some of this asset, and I have accordingly amended Part VII, Line 60 to reflect a partial sale rather than an outright sale.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Steven M. Gold**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544