

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Ramos, Edgardo	2. Court or Organization United States District Court, Southern District of New York	3. Date of Report 01/05/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Thurgood Marshall United States Courthouse 40 Foley Square Suite 410 New York, New York 10007		
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. Member		Executive Committee of the New York City Bar Association
2. Co-Chair		Latino Alumni Committee of the Harvard Law School Association
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Ramos, Edgardo

Date of Report

01/05/2018

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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. 2016

_____, salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Ramos, Edgardo

Date of Report

01/05/2018

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.	Citibank	Revolving line of credit.	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Ramos, Edgardo

Date of Report

01/05/2018

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. -JP Morgan Chase Checking and Savings accounts	A	Interest	J	T					
2. -People's Bank Checking and Savings accounts	A	Interest	K	T					
3. -Bank of America Checking and Savings accounts	A	Interest	K	T					
4. -Schwab Retirement Account									
5. -T. Rowe Price Retirement 2025	A	Dividend	N	T					
6. TIAA CREF Retirement Accounts									
7. - TIAA Traditional	D	Dividend	M	T					
8. - CREF Stock	A	Dividend	M	T					
9. - CREF Equity Index	A	Dividend	K	T					
10. - CREF Global Equities	A	Dividend	K	T					
11. --CREF Bond Market	A	Dividend	K	T					
12. - CREF Inflation-Linked Bond	A	Dividend	J	T					
13. - CREF Money Market Fund	A	Dividend	J	T					
14. -Fidelity Retirement Account									
15. - Fidelity Contrafund	B	Dividend	K	T					
16. - Fidelity Intermediate Government Income fund	A	Dividend	J	T					
17. -Fidelity Retirement Government Money Market Fund	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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Ramos, Edgardo

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18. -JPMCB SR 2030 C	A	Dividend	K	T					
19. -JPM Smartretire 2025	A	Dividend	K	T					
20. - Harbor International Instl CL	A	Dividend	K	T					
21. -LZD Cap All Glb Bal f/ka Lazard/IBT Capital Allocator Balanced Portfo	A	Dividend	M	T					
22. -MIP II CL 2	E	Dividend	M	T					
23. - Rainier Small Mid Cap Equity Instl CL	A	Dividend			Sold	05/31/16	K		
24. FID 500 Index Inst	A	Dividend	L	T					
25. -TRP Equity Income f/k/a T. Row Price Equity Income SHS	A	Dividend	K	T					
26. - Third Avenue Real Estate Value	A	Dividend			Sold	03/31/16	J		
27. -DFA US Small Cap I	A	Dividend	J	T					
28. WT CIF II CR PL BD I	A	Dividend	K	T	Buy (add'l)	03/31/16	J		
29. Vang REIT Index ADM	A	Dividend	J	T	Buy	03/31/16	J		
30. Champlain MidCap Inst	A	Dividend	K	T	Buy	05/31/16	K		
31.									
32. -CT Higher Education Trust Moderate Managed Allocation		None	M	T	Distributed (part)	07/29/16	K		
33.					Distributed (part)	07/29/16	J		
34.					Distributed (part)	12/01/16	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
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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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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Ramos, Edgardo

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Distributed (part)	07/22/16	K		
36.					Distributed (part)	07/22/16	J		
37.					Distributed (part)	12/12/16	K		
38.					Distributed (part)	12/12/16	J		
39.					Buy (add'l)	01/07/16	K		
40.					Buy (add'l)	01/19/16	J		
41.					Buy (add'l)	02/18/16	J		
42.					Buy (add'l)	04/05/16	J		
43.					Buy (add'l)	06/03/16	J		
44.					Buy (add'l)	09/01/16	J		
45.					Buy (add'l)	10/07/16	J		
46.					Buy (add'l)	12/02/16	J		
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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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Ramos, Edgardo

Date of Report

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52. -Abbot Labs	A	Dividend	J	T					
53. -Abbvie	A	Dividend	J	T					
54. -ConAgra Foods	A	Dividend	J	T					
55. -Dupont E.I. De Nemours	A	Dividend	J	T					
56. -General Electric	A	Dividend	J	T					
57. -GlaxoSmithKline PLC ADR	A	Dividend	J	T					
58. -Lamb Western Holding Inc	A	Dividend	J	T	Spinoff (from line 54)	11/09/16	J		
59. -Pfizer	A	Dividend	J	T					
60. -Proctor & Gamble	A	Dividend	J	T					
61. Brokerage Account # 2									
62. -Federated Capital Reserves Money Market Fund	A	Dividend	M	T					
63. -AT&T	B	Dividend	K	T					
64. -Abbott Labs	A	Dividend	K	T					
65. -Abbvie	B	Dividend	K	T					
66. -Alcoa Inc.	A	Dividend	J	T					
67. -Allstate Corp.	A	Dividend	J	T					
68. American Airlines Group	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Ramos, Edgardo

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69. -Amerisource Bergen	A	Dividend	J	T					
70. -Amgen Inc.	A	Dividend	K	T					
71. -Arconic Inc	A	Dividend	J	T	Spinoff (from line 66)	11/01/16	J		
72. -BP PLC Spons ADR	A	Dividend	J	T					
73. -BT Group PLC ADT	A	Dividend	J	T					
74. -Boeing Co Com	A	Dividend	J	T					
75. -Boston Scientific Corp		None	K	T					
76. -CBS Corp. CL B Com	A	Dividend	J	T					
77. -Cigna Corp.	A	Dividend	K	T					
78. -Campbell Soup Co	A	Dividend	J	T					
79. -Caterpillar Inc.	A	Dividend	K	T					
80. -Charter Communications		None	J	T	Spinoff (from line 124)	05/18/16	J		
81. -Chevron Corp New Com	A	Dividend	K	T					
82. -Clorox Co Com	A	Dividend	K	T					
83. -Coach Inc. Com	A	Dividend	J	T					
84. -Coca Cola Company	A	Dividend	J	T					
85. -Comcast Corp CL A	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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86. -ConAgra Foods Inc. Com	A	Dividend	J	T					
87. -Conoco Phillips Com	A	Dividend	J	T					
88. -Disney Walt Co Disney Com	A	Dividend	K	T					
89. -Discover Finl Svcs Inc.	A	Dividend	J	T					
90. -Dow Chem Co	A	Dividend	J	T					
91. -Eastman Chem Co Com	A	Dividend	J	T					
92. -Exxon Mobil Corp Com	A	Dividend	K	T					
93. -Ford Motor Co Del Com Par	A	Dividend	J	T					
94. -Freeport McMoran Copper & Gold Inc.	A	Dividend	J	T					
95. Frontier Communications Corp	A	Dividend	J	T					
96. -General Electric Co Com	A	Dividend	K	T					
97. -GlaxoSmithKline PLC Spons ADR	A	Dividend	J	T					
98. -Hanesbrands	A	Dividend	J	T					
99. -Hershey Co Com	A	Dividend	J	T					
100. -Hillshire Brands Co Com (Y)									
101. -Ingredion Inc	A	Dividend	J	T					
102. -Intel Corp Com	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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103. -IBM Corp	A	Dividend	K	T					
104. -International Paper Co	A	Dividend	J	T					
105. -JP Morgan Chase & Co Com	A	Dividend	K	T					
106. -Kellogg Co	A	Dividend	J	T					
107. -Lifepoint Hosps Inc. Com		None	J	T					
108. -Merck & Co Inc. New Com	A	Dividend	J	T					
109. -Morgan Stanley Com New	A	Dividend	J	T					
110. -NCR Corp Com		None	J	T					
111. -Newell Rubbermaid Inc. Com	A	Dividend	J	T					
112. -News Corp CL A	A	Dividend	J	T					
113. -OFG Bank Corp	A	Dividend	J	T					
114. -Pepsico Inc.	A	Dividend	J	T					
115. -Pfizer Inc. Com	B	Dividend	K	T					
116. -Phillips 66	A	Dividend	J	T					
117. -Praxair Inc.	A	Dividend	K	T					
118. -Raytheon Co New Com	A	Dividend	J	T					
119. -Smucker J M Co Com New	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Ramos, Edgardo

Date of Report

01/05/2018

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)
120. -Target Corp	A	Dividend	K	T					
121. -Teradata Corp Del Com		None	J	T					
122. -3M Co Com	A	Dividend	J	T					
123. -Time Warner Inc. New Com New	A	Dividend	J	T					
124. -Time Warner Cable Inc. Com	A	Dividend			Sold	05/20/16	J	B	
125. -Travelers Cos Inc. Com	A	Dividend	J	T					
126. -Twenty-First Century Fox	A	Dividend	J	T					
127. -US Steel Corp (X)	A	Dividend	J	T					
128. -Verizon Communications Com	A	Dividend	J	T					
129. -Viacom Inc. CL B Com New	A	Dividend	J	T					
130. -Vodafone Group PLC Spon ADR New	A	Dividend	J	T					
131. -Yum Brands Inc. Com	A	Dividend	J	T					
132. -Yum China Holding, Inc Com		None	J	T	Spinoff (from line 131)	10/31/16	J		
133. -Public Storage Common Stock (REIT)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Ramos, Edgardo

Date of Report

01/05/2018

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

Hillshire Brands Co was inadvertently included in 2015 sold 3/9/14
US Steel value was under the reporting requirements in prior years

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Ramos, Edgardo

Date of Report

01/05/2018

IX. CERTIFICATION.

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

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

Signature: s/ **Edgardo Ramos**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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