

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) Gold, Steven M.	2. Court or Organization U.S. District Court EDNY	3. Date of Report 07/06/2017
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 01/01/2016 to 12/31/2016
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	
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 8

Name of Person Reporting

Gold, Steven M.

Date of Report

07/06/2017

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. 2016	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. 2016	Salary/Executive Director, [REDACTED]
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Gold, Steven M.

Date of Report

07/06/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Gold, Steven M.

Date of Report

07/06/2017

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. 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.	J	T	Buy (add'l)	01/04/16	J		
5.					Buy (add'l)	06/27/16	J		
6. -Harbor High Yield Bond	A	Int./Div.	J	T	Sold (part)	06/06/16	J		
7.					Sold (part)	06/08/16	J		
8. -Harbor Convertible Sec	A	Int./Div.	J	T					
9. -SIT Dividend Growth	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
10.					Buy (add'l)	01/19/16	J		
11.					Buy (add'l)	04/20/16	J		
12. -Ridgeworth SEIX Floating	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
13. -Matthews Asia Dividend	A	Int./Div.	J	T	Sold (part)	06/10/16	J		
14. -Blackrock High Yield Bond	A	Int./Div.	J	T	Buy (add'l)	03/07/16	J		
15. -Cohen & Steers Pref's Sec & Inc	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
16. -HSBC Funds Total Return	A	Int./Div.	J	T					
17. -Doubleline Total Return	A	Int./Div.	K	T	Buy (add'l)	01/06/16	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000.000	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 8

Name of Person Reporting

Gold, Steven M.

Date of Report

07/06/2017

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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.					Sold (part)	06/08/16	J		
19. - TRP Inst Floating Rate	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
20. -Metropolitan West Funds	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
21.					Buy (add'l)	06/08/16	J		
22. Lord Abbett Inv't Tr	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
23.					Buy (add'l)	06/10/16	J		
24.					Buy (add'l)	06/14/16	J		
25. BMO Pyrford Intl Stock	A	Int./Div.	J	T	Sold (part)	06/28/16	J		
26. Credit Suisse Warburg Pines High Inc	A	Int./Div.	J	T					
27. Pimco Unconstrained Bond	A	Int./Div.	J	T					
28. John Hancock L/C Equity	A	Int./Div.	J	T	Buy (add'l)	03/07/16	J		
29.					Sold (part)	06/14/16	J		
30. Credit Suisse Floatig Rate High Inc	A	Int./Div.	J	T	Buy (add'l)	01/06/16	J		
31. Federated Inst Hi Yld Bond	A	Int./Div.	J	T	Buy (add'l)	03/07/16	J		
32.					Buy (add'l)	06/07/16	J		
33. Pimco High Yield FD-P	A	Int./Div.			Buy	01/06/16	J		
34.					Sold	03/07/16	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Gold, Steven M.

Date of Report

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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. Diamond Hill Large Cap	A	Int./Div.			Buy	01/06/16	J		
36.					Sold	03/07/16	J		
37. Nuveen Inv't Tr V Pfd Secs C1 R	A	Int./Div.	J	T	Buy	01/20/16	J		
38.					Buy (add'l)	01/21/16	J		
39. Columbia Conv Sec Z	A	Int./Div.			Sold	01/20/16	J		
40.									
41. VANGUARD HEALTHCARE FUND IRA	A	Dividend	L	T					
42. T ROWE PRICE RTMNT. PLAN									
43. - T Rowe Price Personal Strategy Fund 403(b)	D	Dividend	M	T					
44. - T Rowe Price Health Sciences Fund 403(b)	A	Dividend	L	T					
45. - T Rowe Price Prime Reserve Fund 403(b)	A	Dividend	K	T					
46. REFORM PENSION BOARD 403(b)									
47. -Ref. Pens Bd. Appren & Inc. Fund 403(b)	A	Int./Div.	N	T	Buy (add'l)	01/31/16	J		
48.					Buy (add'l)	04/30/16	J		
49.					Buy (add'l)	07/31/16	J		
50.					Buy (add'l)	10/31/16	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Gold, Steven M.

Date of Report

07/06/2017

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

1) Lines 3, 42, and 46 are headers.

2) With respect to the asset described in Section VII on line 39 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) This amended report is filed in response to the Committee's letter of June 28, 2017. As noted in the Committee's letter, I listed an asset - Sterling Cap FDS Capital - on Part VII, line 233 of my 2015 report, but did not report that asset on my 2016 report. The Committee's letter requests that I file an amended 2016 report, and I do so now by adding this explanatory note.

It appears that the error is in my 2015 report rather than my 2016 report. On line 233 of Part VII of my 2015 report, I listed a partial sale of Sterling Cap FDS Capital on March 6, 2015. The account holding that asset was liquidated during 2015. I therefore infer that I erroneously listed the sale as a partial one when in fact it was a sale of my entire investment, or that there was a subsequent sale that I mistakenly omitted or did not meet the dollar threshold for reporting. I apologize for any confusion this caused.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Gold, Steven M.

Date of Report

07/06/2017

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/ 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
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Washington, D.C. 20544