

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) Tomlinson, A. Kathleen	2. Court or Organization Eastern District of New York	3. Date of Report 09/22/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
7. Chambers or Office Address Alphonse D'Amato US Courthouse 914 Federal Plaza Central Islip, NY 11722		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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.)*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. _____

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 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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.	American Express FSB Mortgage	Shared mortgage on family home, Livingston, NJ	L
2.	Citizens First Bank	Mortgage on Rental Property, The Villages, Florida (Pt. VII, line 20)	M
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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. Citibank Accounts	A	Interest	M	T					
2. IBM Stock	A	Dividend	K	T					
3. Hartford Select Dimensions Variable Annuity (H)									
4. --Hartford Invesco VI Growth & Income Mutual Fund	A	Dividend	L	T					
5. Prudential Financial Life Insurance policy ("20 Pay Life")	A	Dividend	J	T					
6. TIAA/CREF Proprietary Fund (fixed rate acct)	A	Interest	J	T					
7. Allianz Vision New York Qualified IRA (H)									
8. --AZL MVP Growth Index Strategy Fund	D	Dividend	N	T					
9. Farrell Fritz/ABA Retirement Invest (H) Only: (H)									
10. ---Small-Mid Cap Equity Fund/State Street B & T Russell 2500	C	Dividend			Sold	11/04/16	M		
11. --Small Cap Index Eq Fund/Russell2000 Index	B	Dividend			Sold	11/04/16	L		
12. --Large Cap Equity Fund - Russell 1000 TR	A	Dividend			Sold	11/04/16	L		
13. -- Mid-cap index equity - S&P MidCap 400	B	Dividend			Sold	11/04/16	K		
14. Farrell Fritz/ABA Retirement Profit Sharing: (H)									
15. --Large-Cap Equity Fund Russell 1000 TR	A	Dividend			Sold	11/04/16	L		
16. --Mid-Cap Index Equity - S&P MidCap 400	C	Dividend			Sold	11/04/16	K		
17. ---Small Cap Index Equity Fund/Russell 2000	C	Dividend			Sold	11/04/16	M		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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)

18. ---Small-Mid Cap Equity Fund/State Street B & T Russell 2000	C	Dividend			Sold	11/04/16	L		
19. ---International Index Equity/State Street Bank MSCI	A	Dividend			Sold	11/04/16	K		
20. Rental Prop: The Villages, FL (7/08 \$290,000)	D	Rent	N	R					
21. First Global Capital Corp. Money Market Tax-Exempt Fund Cap	B	Dividend	K	T					
22. American Amcap Fund Class F	A	Dividend	M	T					
23. T Rowe Price Equity Income	A	Dividend	K	T					
24. T Rowe Price NY Tax Free Bond	C	Interest	M	T					
25. ishares Tr S & P World Ex-US PPTY Index Fd 135	A	Dividend	J	T					
26. UMB Scout International	B	Dividend	L	T					
27. DFA Commod Strategy Port Instl	A	Dividend	J	T					
28. DFA Commod Strategy Port Instl	A	Dividend	K	T	Buy (add'l)	11/18/16	K		
29. DFA Emerging Mks Core Eq	A	Dividend	J	T					
30. DFA Emerging Mks Core Eq	A	Dividend	K	T	Buy (add'l)	11/18/16	K		
31. DFA US Large Cap Value	B	Dividend	L	T					
32. DFA US Large Cap Value	B	Dividend	L	T	Buy (add'l)	11/18/16	L		
33. DFA Investment Grade Portfolio Instl		None	M	T	Buy	11/21/16	M		
34. DFA International Core Equity	C	Dividend	L	T	Buy	11/18/16	L		

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 6 of 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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)

35. DFA US Targeted Value Prtf Instl	C	Dividend	L	T	Buy	11/18/16	L		
36. DFA Int'l Small Cap Value	A	Dividend	K	T	Buy	11/18/16	K		
37. DFA Real Estate Sec Prtf Instl	B	Dividend	K	T	Buy	11/18/16	K		
38. DFA US Small Cap Portfolio Instl CL	B	Dividend	K	T	Buy	11/18/16	K		
39. DFA US Large Company Portfolio	B	Dividend	L	T	Buy	11/18/16	L		
40. Fidelity Govt Mmkt Capital Reserves	A	Dividend	K	T	Buy	11/17/16	K		

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 7 of 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Tomlinson, A. Kathleen

Date of Report

09/22/2017

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/ A. Kathleen Tomlinson**

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