

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) Stein, Sidney H.	2. Court or Organization U.S. District Court	3. Date of Report 8/13/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	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. Courthouse 500 Pearl Street New York, New York 10007-1312		
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. Member - Board of Directors	Greater New York Councils, Boy Scouts of America
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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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.		
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. New York State Bar Association	9/11/17 - 9/15/17	Antigua, Guatemala	Bar Association Meeting	Travel, Food, Lodging
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.)*

<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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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. MONEY MARKETS									
2. JPMORGAN U.S. GOVT.	A	Interest	J	T					
3. Dreyfus Tax Free NY	A	Interest	K	T					
4.									
5. COMMON STOCKS									
6. BERKSHIRE HATHAWAY CORP.		None	P1	T					
7. 5180 GRANT AVE CORP		None	P1	W					
8.									
9. TAX EXEMPT BONDS									
10. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
11. NEW YORK ST MTG AGY REV HOMETOWN MTG -29-a-RMKT	C	Interest	M	T					
12. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
13. NY State Power Auth Rev & Gen Purp Ser Detm	A	Interest	K	T					
14. NYS STATE POWER AUTH SER G	A	Interest	K	T					
15. NEW YORK ST HSG FIN AGY GEN SER A	D	Interest	M	T					
16. NEW YORK STATE POWER AUTH.	C	Interest	K	T					
17. NYS DORM SALES TAX SER A	B	Interest			Sold	01/05/17	L		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. MINNEAPOLIS MINN HEALTH CARE	A	Interest			Sold	02/03/17	J	B	
19. NYS REF - SER C	C	Interest	M	T					
20. NYS LOC GOVT ASSISTANCE CORP	D	Interest	M	T					
21. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
22. NYS THWY SECOND GEN HIGHWAY SER A	C	Interest	M	T					
23. NYS ENVIRON. FACS CORP	C	Interest	M	T					
24. NYC TR CULTURAL RES REV	B	Interest	L	T					
25. NYC SER D	C	Interest	M	T					
26. SOUTHEASTERN PA TRANS AUTH REV	C	Interest	M	T					
27. NYC, NY DTD 10/23/2012 SER B	B	Interest	M	T					
28. NYS DORM AUTH SALES TAX SER A	C	Interest			Sold	03/31/17	M	D	
29. NASSAU CTY SALES TAX - SER A	C	Interest	M	T					
30. LOUISVILLE & JEFF CTY, KY SER A	C	Interest	M	T					
31. UNIV. CALIFORNIA SER G	C	Interest	M	T					
32. PALM BEACH CTY FL SOL WST AUTH	B	Interest	M	T					
33. PA ST TNPKE COMM SER C	B	Interest	L	T					
34. SALES TAX ASSET REV SER A	D	Interest			Sold	12/12/17	L	B	

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	

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35.									
36. CENTRAL PLAINS ENERGY PROJ	C	Interest			Sold	12/12/17	L		
37. NYS THWY AUTH REF	C	Interest	M	T					
38. NYC NY HSG	C	Interest	M	T					
39. PALM BEACH CTY FL	D	Interest			Sold	05/30/17	L	B	
40. NYC NY TRA	C	Interest	M	T					
41. LOUISIANA STATE	B	Interest	M	T					
42. MONROE CTY NY INDL.	D	Interest	M	T					
43. NJ ST. ECON D.	C	Interest	M	T					
44. MET TRANSPORTATION AUTH NY	B	Interest	M	T					
45. NYS DORM AUTH	C	Interest	L	T					
46. NASSAU CTY NY	C	Interest			Sold	10/19/17	M		
47. ATHENS TX INDEP SCH	D	Interest			Sold	10/19/17	M		
48. MIAMI DADE CTY FL SCH. BD.	C	Interest	M	T					
49. NORTHSIDE TX IND SCH	B	Interest	M	T			M		
50. ORANGE CTY FL SCH B	D	Interest			Sold	12/04/17	M		
51. SUFFOLK CTY NY INTR	C	Interest	M	T					

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52. HOUSTON TX UTILITY SYS	C	Interest	M	T					
53. NEW YORK ST DORM AUTH	A	Interest			Sold	04/16/17	M		
54. CALIFORNIA ST	C	Interest			Sold	05/09/17	L	B	
55. TRIBOROUGH NY BRIDGE	C	Interest	M	T	Buy	01/19/17	M		
56. PORT AUTH NY	B	Interest	L	T	Buy	04/11/17	L		
57. ST LAWRENCE CTY NY	A	Interest	L	T	Buy	04/27/17	L		
58. HUDSON YARDS INFRAS	C	Interest			Buy	05/30/17	M		
59.					Sold	12/12/17	M		
60. NYS DORM AUTH	B	Interest	M	T	Buy	07/27/17	M		
61. LEE CTY FL SCH BD		None	M	T	Buy	07/28/17	M		
62. CONNECTICUT ST	A	Interest	M	T	Buy	07/31/17	M		
63. BAY AREA CA	A	Interest	M	T	Buy	08/02/17	M		
64. KENTUCKY ST TPKE		None	M	T	Buy	08/02/17	M		
65. NYC NY TRA		None	M	T	Buy	08/24/17	M		
66. ISLIP NY		None	M	T	Buy	10/20/17	M		
67. SUFFOLK CTY NY		None	M	T	Buy	10/23/17	M		
68. NYS DORM AUTH		None	L	T	Buy	12/13/17	L		

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69. ARIZONA ST		None	L	T	Buy	12/20/17	L		
70. OKLAHOMA CITY, OK WTR		None	M	T	Buy	12/22/17	M		
71.									
72. MUTUAL FUNDS									
73. GREYCOURT PARTNERS FUND (IRA))	F	Dividend	P1	T					
74. GREYCOURT PARTNERS FUND	G	Dividend	P2	T					
75.									
76.									
77. MISCELLANEOUS									
78. CASH, JPMORGAN CHASE	E	Interest	O	T					
79. FINE ARTS HELD AS TENANT-IN-COMMON		None	P1	W					
80. ARBOR PPTY TRUST		None	K	T					
81. SERVICEMASTER LP		None	M	T					
82.									
83. NOTE: JUDGE STEIN HAS ELECTED NOT TO									
84. LIST INFORMATION BY FAMILY MEMBER									

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

None

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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/ **Sidney H. Stein**

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