

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) Moses, Barbara C.	2. Court or Organization United States District Court	3. Date of Report 04/10/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge, full-time	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 United States District Court 500 Pearl Street, Room 920 New York, NY 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. Past President, Director	New York County Lawyers Association
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. 2016	Morvillo Abramowitz Grand Iason & Anello PC - post termination fees	\$53,424.49
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	Self-employed - consultant
2. 2016	Self-employed - photographer
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.)*

	<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	Credit Card	J
2.	Barclays Mastercard	Credit Card	J
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. AT&T Common Stock	A	Dividend	K	T					
2. Berkshire Hathaway Class A Common Stock		None	P2	T					
3. BlackRock Total International ex US Index Institutional	A	Dividend	K	T	Buy	11/30/16	K		
4. Cisco Systems Common Stock	A	Dividend	J	T					
5. Citigroup Common Stock	A	Dividend	L	T					
6. Crimson Wine Group Common Stock		None			Sold	01/08/16	J	A	
7. DFA US Large Cap Value		None	M	T	Buy	12/16/16	M		
8. Doubleline Core Fixed Income Mutual Fund	D	Dividend	M	T					
9. Goldman Sachs Muni Income Fund Mutual Fund	B	Dividend	L	T					
10. Guggenheim Enhanced Short Duration ETF	A	Dividend	M	T	Buy	07/15/16	M		
11. Ironwood Pharmaceuticals Class A Common Stock		None	O	T					
12. Ironwood Pharmaceuticals Class B Common Stock		None	P1	T					
13. iShares iBoxx Investment Grade Corporate Bond ETF	C	Dividend			Sold	12/16/16	M		
14. iShares MSCI EAFE ETF	C	Dividend	M	T	Buy	02/24/16	J		
15.					Sold (part)	12/16/16	K		
16. JM Smuckers Company Common Stock	B	Dividend	L	T					
17. Leucadia National Corporation Common Stock	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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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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 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. Liberty Broadband Corp CMN Class A		None			Sold	01/07/16	J	A	
19. Liberty Broadband Corp CMN Class C		None			Sold	01/07/16	J	B	
20. Liberty Ventures CMN Series Class A		None			Sold	01/07/16	J	A	
21. Librty Intractive Corp QVC GRP Interactive		None			Sold	01/07/16	J	D	
22. Liberty Media Corp Series C Sirius XM		None	J	T	Spinoff (from line 26)	04/15/16	J		
23. Liberty Media Corp Series A Sirius XM		None	J	T	Spinoff (from line 27)	04/15/16	J		
24. Liberty Media Corp Series C Braves		None	J	T	Spinoff (from line 26)	04/15/16	J		
25. Liberty Media Corp Series A Braves		None	J	T	Spinoff (from line 27)	01/15/16	J		
26. Liberty Media Corp Del Com Ser C Media (f/k/a Liberty Media Corp CI C)		None	J	T					
27. Liberty Media Corp Del Com Ser A Media (f/k/a Liberty Media Corp CI A)		None	J	T					
28. Lowe's Companies Common Stock	A	Dividend	K	T					
29. Matthews Asian Growth and Income Mutual Fund	C	Dividend	K	T	Sold (part)	11/30/16	K		
30. PowerShares Water Resources ETF	A	Dividend	J	T					
31. Schwab Total Bond Market Mutual Fund	D	Dividend	M	T					
32. The Southern Company Common Stock		None			Sold	01/07/16	J	D	
33. SPDR S&P 500 ETF	E	Dividend	O	T					
34. T. Rowe Price International Stock Mutual 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	

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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. Templeton Global Bond Mutual Fund	B	Dividend	L	T					
36. Templeton Global Income Mutual Fund	A	Dividend	J	T					
37. Tootsie Roll Industries Common Stock	A	Dividend	K	T	Sold (part)	04/08/16	J	A	
38. Vanguard Extended Market ETF	B	Dividend	M	T					
39. Vanguard Extended Market Mutual Fund	B	Dividend	L	T					
40. Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Buy	12/16/16	K		
41. Vanguard FTSE Emerging Markets ETF	B	Dividend	M	T	Buy	12/16/16	L		
42. Vanguard High Dividend Yield ETF	D	Dividend	M	T	Sold (part)	12/16/16	N	F	
43. Vanguard Intermediate-Term Tax-Exempt Mutual Fund	D	Dividend	O	T	Buy	12/16/16	M		
44. Vanguard Limited-Term Tax-Exempt Mutual Fund	B	Dividend	L	T					
45. Vanguard Short-Term Investment Grade Mutual Fund	C	Dividend	M	T					
46. Vanguard Total Bond Market ETF	D	Dividend	M	T	Buy	12/16/16	K		
47. Vanguard Total International Bond ETF	B	Dividend			Sold	07/15/16	M	D	
48. Vanguard Total International Stock ETF	D	Dividend	N	T	Buy	07/26/16	K		
49. Schwab Government Securities Money Market	A	Interest	J	T					
50. Goldman Sachs Bank Deposit Money Market	C	Interest	P1	T					
51. US Treasury Note 4.5% 2/15/16 FA on the Run	A	Interest			Matured	02/16/16	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. NYC Transitional Finance Auth Rev 3% 11/1/18	B	Interest	K	T					
53. Israel 6.05% 5/1/2013 3rd Jubilee Issue	A	Interest			Sold	12/19/16	J	A	
54. JPMorgan Chase Bank Account	A	Interest	M	T					
55. Bank of America Account	A	Interest	L	T					
56. Canadian Imperial Bank of Commerce - New Account Opened	A	Interest	L	T	Open	12/28/16	K		
57. Citibank (IRA) (CD)	A	Interest	J	T					
58. Citibank (IRA) Money Market	A	Interest	L	T					
59. 401(k) Plan #1(H)									
60. - Federated US Treasury Cash Reserves I Mutual Fund	A	Dividend	L	T					
61. - PIMCO High Yield Admin Mutual Fund	A	Dividend	L	T					
62. - Lazard International Strategic Equity Mutual Fund	A	Dividend	K	T					
63. - Goldman Sachs Growth Opportunities A Mutual Fund	A	Dividend	L	T					
64. Morvillo Abramowitz Target Benefit Plan (H)									
65. T.Rowe Price 2020 Mutual Fund	C	Int./Div.	M	T					
66. 401(k) Plan #2 (H)									
67. - IBM Common Stock	A	Dividend	J	T					
68. - Large Company Index Fund		None	J	T					

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69. - Interest Income Fund		None	J	T					
70. NY 529 Accounts (H)									
71. - Moderate Age-Based Option: Income Portfolio	A	Int./Div.	K	T					
72. - Moderate Age-Based Option: Conservative Growth	A	Int./Div.	K	T					
73. - Conservative Age-Based Option: Income Portfolio	A	Int./Div.	K	T					
74. - Interest Accumulation Portfolio	A	Int./Div.	K	T					
75. - Inflation-Protected Securities Portfolio	A	Int./Div.	K	T					
76. Treasury Direct Savings Bonds	D	Interest	M	T					
77. Orrick Investments 2000 LLC	A	Distribution	J	W					
78. Orrick Investments 2001 LLC	A	Distribution	J	W					

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.)*

In Part VII (Investments and Trusts), Lines 11-12: Ironwood Pharmaceuticals Class A and Class B holdings were all reported as Class A Shares on the Initial Filing (line 8), with the correct Value Code assigned. No transactions (other than acquisition of a small number of shares by non-reportable gift from relative) occurred in 2016.

In Part VII (Investments and Trusts), Lines 20-27: To the best of my recollection, Liberty Media Corporation (Initial Report lines 13-14) spun-off a number of companies in 2016. These new holdings resulted from these spin-offs and not reportable transactions.

In Part VII (Investments and Trusts), Line 71: Moderate Age-Based Option: Income Portfolio. This position originated from an age-based 529 plan account that automatically moves more conservative (without any reportable transaction being initiated) as the child gets closer to college-aged. This entire position was formerly reported as 100% invested in the Moderate Age-Based Option: Conservative Growth Portfolio on line 62 of the Initial Filing.

In Part VII (Investments and Trusts), the New York 529 Account statements do not provide income detail. Therefore, dividend yield information from a reputable data source was used and income was estimated for the reporting period on a best-efforts basis.

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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/ **Barbara C. Moses**

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
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Washington, D.C. 20544