

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) Moses, Barbara C.	2. Court or Organization United States District Court	3. Date of Report 08/07/2018
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 01/01/2017 to 12/31/2017
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.)*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. 2017

Self-Employed Consultant

2. 2017

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. 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		None			Sold	01/04/17	K	A	
4. Cisco Systems Common Stock	A	Dividend	J	T					
5. Citigroup Common Stock	A	Dividend	L	T					
6. DFA International Core Equity I	C	Dividend	M	T	Buy	02/10/17	M		
7. DFA US Large Cap Value	D	Dividend	M	T					
8. Doubleline Core Fixed Income Mutual Fund \	D	Dividend	N	T	Buy (add'l)	02/10/17	L		
9.					Sold (part)	07/20/17	J	A	
10.					Buy (add'l)	09/25/17	M		
11. Goldman Sachs Muni Income Fund Mutual Fund	B	Dividend	L	T					
12. Invesco Ultra Short Duration ETF	B	Dividend			Buy (add'l)	02/10/17	K		
13.					Sold	09/25/17	M	A	
14. Ironwood Pharmaceuticals Class A Common Stock		None	O	T					
15. Ironwood Pharmaceuticals Class B Common Stock		None	P1	T					
16. iShares MSCI EAFE ETF	C	Dividend	M	T					
17. JM Smuckers Company Common Stock	B	Dividend	L	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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☐ 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. Jefferies Group Inc. Common Stock	A	Dividend	K	T					
19. Liberty Media Corp Series C Sirius XM		None			Sold	02/21/17	J	D	
20. Liberty Media Corp Series A Sirius XM		None			Sold	02/21/17	J	C	
21. Liberty Media Corp Series C Braves		None			Sold	02/21/17	J	A	
22. Liberty Media Corp Series A Braves		None			Sold	02/21/17	J	A	
23. Liberty Media Corp Del Com Ser C Media (f/k/a Liberty Media Corp C1 C)		None			Sold	02/21/17	J	B	
24. Liberty Media Corp Del Com Ser A Media (f/k/a Liberty Media Corp C1 A)		None			Sold	02/21/17	J	A	
25. Lowe's Companies Common Stock	A	Dividend	K	T					
26. Matthews Asian Growth and Income Mutual Fund	C	Dividend	L	T	Buy (add'l)	01/04/17	K		
27. Invesco Water Resources ETF	A	Dividend	J	T					
28. Schwab Total Bond Market Mutual Fund	A	Dividend			Sold (part)	01/11/17	K	A	
29.					Sold	02/10/17	M	A	
30. SPDR S&P 500 ETF	E	Dividend	O	T	Sold (part)	02/10/17	L	D	
31.					Sold (part)	07/20/17	M	E	
32. T. Rowe Price International Stock Mutual Fund	A	Dividend	J	T					
33. Templeton Global Bond Mutual Fund	C	Dividend	M	T	Buy (add'l)	01/10/17	L		
34. Templeton Global Income Mutual Fund	A	Dividend	J	T					

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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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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				
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35. Tootsie Roll Industries Common Stock	A	Dividend	K	T	Sold (part)	04/01/17	J	A	
36. Vanguard Extended Market ETF	B	Dividend	M	T					
37. Vanguard Extended Market Mutual Fund	A	Dividend	K	T	Sold (part)	02/10/17	K	D	
38.					Sold (part)	09/25/17	K	D	
39. Vanguard FTSE Developed Markets ETF	B	Dividend	K	T					
40. Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T					
41. Vanguard High Dividend Yield ETF	C	Dividend	M	T					
42. Vanguard Intermediate-Term Tax-Exempt Mutual Fund	E	Dividend	O	T	Buy (add'l)	01/10/17	K		
43.					Buy (add'l)	02/10/17	K		
44. Vanguard Limited-Term Tax-Exempt Mutual Fund	A	Dividend			Sold	01/11/17	L	A	
45. Vanguard Short-Term Investment Grade Mutual Fund	C	Dividend	M	T	Buy (add'l)	09/25/17	M		
46. Vanguard Total Bond Market ETF	D	Dividend	O	T	Buy (add'l)	02/10/17	M		
47.					Buy (add'l)	02/28/17	L		
48.					Buy (add'l)	07/20/17	L		
49. Vanguard Total International Stock ETF	C	Dividend	M	T	Sold (part)	02/10/17	M	A	
50. Schwab Cash Sweep	A	Interest	O	T					
51. Schwab Government Securities Money Market	A	Interest	J	T					

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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. JPMorgan Chase Bank Account	A	Interest	M	T					
54. Bank of America Account	A	Interest	L	T					
55. Canadian Imperial Bank of Commerce	B	Interest	M	T					
56. Citibank (IRA) (CD)	A	Interest			Closed	03/02/17	J		
57. Citibank (IRA) Money Market	A	Interest			Closed	02/14/17	L		
58. 401(k) Plan #1 (H)									
59. - Federated US Treasury Cash Reserves I Mutual Fund	A	Dividend	L	T					
60. - PIMCO High Yield Admin Mutual Fund	D	Dividend	M	T					
61. - Lazard International Strategic Equity Mutual Fund	A	Dividend	K	T					
62. - Goldman Sachs Growth Opportunities A Mutual Fund	D	Dividend	L	T					
63. Morvillo Abramowitz Target Benefit Plan (H)									
64. T. Rowe Price 2020 Mutual Fund	D	Int./Div.	M	T					
65. 401(k) Plan #2 (H)									
66. - IBM Common Stock	A	Dividend	J	T					
67. - Large Company Index Fund		None	J	T					
68. - Interest Income Fund		None	J	T					

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69. NY 529 Accounts (H)									
70. - Moderate Age-Based Option: Income Portfolio	A	Dividend	K	T					
71. - Moderate Age-Based Option: Conservative Portfolio	A	Dividend	K	T					
72. - Conservative Age-Based Option: Conservative Income Portfolio	A	Dividend	K	T					
73. - Interest Accumulation Portfolio	A	Dividend	K	T					
74. - Inflation-Protected Securities Portfolio	B	Dividend	K	T					
75. - Moderate Age-Based Option: Conservative Portfolio	A	Dividend	K	T					
76. - Conservative Age-Based Option: Balanced Income Portfolio	A	Dividend	K	T					
77. Treasury Direct Savings Bonds	C	Interest	M	T					
78. Orrick Investments 2000 LLC	A	Distribution	J	W					
79. Orrick Investments 2001 LLC	A	Distribution	J	W					

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

In Part VII (Investments and Trusts), Line 12: Invesco Ultra Short Duration ETF. This position was listed on the 2016 report as Guggenheim Enhanced Short Duration ETF. Guggenheim was acquired by Invesco and the fund name was changed.

In Part VII (Investments and Trusts), Line 18: Jefferies Group Inc. Common Stock. This position was listed on the 2016 report as Leucadia National Corporation Common Stock. The company changed its name from Leucadia National Corporation to Jefferies Financial Group, Inc.

In Part VII (Investments and Trusts), Line 27: Invesco Water Resources ETF. This position was listed on the 2016 report as Powershares Water Resources ETF. Invesco retired the PowerShares brand and renamed the ETF.

In Part VII (Investments and Trusts), Line 50: Schwab Cash Sweep. This position resulted from an account transfer from Goldman Sachs to Charles Schwab on 12/09/2016. The 2016 report incorrectly stated that the Goldman Sachs Bank Deposit Money Market was a reportable position on 12/31/2016 with a value code of P1 when there was actually no value for this position. That report should have stated that the Schwab Cash Sweep had a value code of O. The 2017 report is now accurate with a value code of O for the Schwab Cash Sweep position.

In Part VII (Investments and Trusts), Line 71: Moderate Age-Based Option: Conservative Portfolio. This position originated from an age-based 529 plan account that automatically becomes more conservative (without an 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 option.

In Part VII (Investments and Trusts), Line 72: Conservative Age-Based Option: Conservative Income Portfolio. This position originated from an age-based 529 plan account that automatically becomes more conservative (without an reportable transaction being initiated) as the child gets closer to college-aged. This entire position was formerly reported as 100% invested in the Conservative Age-Based Option: Income Portfolio option.

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