

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) Stanton, Louis L.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 04/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	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, NY 10007		
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.	Trustee	Trust #1
2.		
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.		

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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. 02/04/2017	Sale of timber to Michael Dean, Claryville, NY	\$10,975.00
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.	
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. MS Active Assets Tax-free Trust	A	Int./Div.	M	T					
2. IRA									
3. -US Treas. Fed Strips zero coupon 8/15/17		None			Matured	08/15/17	L	E	
4. -US Treas. Fed Strips zero coupon 8/15/18		None	L	T					
5. -US Treas. Fed Strips zero coupon 8/15/19		None	L	T					
6. -US Treas. Fed Strips zero coupon 8/15/20		None	L	T					
7. -US Treas. Fed Strips zero coupon 8/15/21		None	L	T					
8. -US Treas. Fed Strips zero Coupon 8/15/25		None	M	T					
9. -Morgan Stanley Bank account	A	Int./Div.	J	T					
10. -NJ Econ. Dev. Pension Fdg. Rev. B 2/15/23 zero coupon.		None	L	T					
11. -NJ Econ. Dev. Pension Fdg. Rev. B 2/15/22 zero coupon		None	L	T					
12. -Fresno Cal. Pension Rev. 8/15/24 zero coupon		None	L	T					
13. Chase Bank account	A	Int./Div.	J	T					
14. Pfizer, Inc. common	B	Dividend	L	T					
15. Citibank accounts	A	Interest	L	T					
16. Vanguard Index 500	D	Dividend	N	T	Sold (part)	05/10/17	K	D	
17. NYC MTA Rev B 11/15/33	E	Interest			Redeemed	11/15/17	N		

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 - \$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	

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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)

18. LI NY Pwr Auth Elec Sys Bonds Series A zero coupon 6/1/23		None	M	T					
19. NYC Gen'l Oblig'n Bonds Series L 4/1/21	D	Interest	M	T					
20. NYS Environ'tal Facs Corp. B 6/15/25	C	Interest			Redeemed	06/15/17	M		
21. NYS Gen'l Oblig'n Bonds Series A 3/1/31 and 3/1/32	D	Interest	M	T					
22. NYC Mun Water Fin. Auth. Rev. FF 6/15/34	D	Interest	M	T					
23. NYS Thruway Auth. State P'nal Inc Tax Rev A 5% 3/15/32	D	Interest	M	T					
24. NYS Thruway Auth. Ser. I 5% 1/1/37	D	Interest	M	T					
25. NYS Dorm. Auth. Mem Sloan Kettering zero coupon 7/1/27		None	M	T					
26. Triboro Br.&Tun. Auth. zero coupon 11/15/31		None	M	T					
27. NYS Environmental Facs Corp. - C 4% 6/15/37		None	L	T	Buy	12/14/17	L		
28. NYC Gen'l Oblig'n 4% 8/1/34		None	M	T	Buy	12/20/17	M		
29. Hudson Yards Infrastructure Corp. 4% 2/15/44		None	M	T	Buy	12/20/17	M		

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

The assets in Trust #1 need not be reported, because neither I nor my spouse created the trust, received income from it, or have any beneficial interest in it. We have (and had throughout 2017) no minor or dependent child. (None of its assets pose any conflict of interest.)

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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/ **Louis L. Stanton**

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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