

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 8/04/2016
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 01/01/2015 to 12/31/2015
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member - Board of Directors	Practicing Law Institute, a not for profit organization for continuing legal education
2. Member - Board of Directors	Park Corporation, a not for profit cooperative housing corporation
3. Member - Board of Directors	Greater New York Councils, Boy Scouts of America
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. 2015	West Services, Inc. royalty for 2015	\$3,092.78
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. Aspen Institute	7/24/15-7/26/15	Manhasset, NY	Educational Seminar	Lodging and Food
2. Stanford University and American Antitrust Institute	8/27/15-8/29/15	Palo Alto, CA	Educational Seminar	transportation, lodging and food
3. National Committee on U.S.-China Relations	12/7/15-12/11/15	Beijing, China	Rule of Law Conference	transportation, lodging and food
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	M	T					
3. Dreyfus Tax Free NY	A	Interest	O	T					
4.									
5. COMMON STOCKS									
6. BERKSHIRE HATHAWAY CORP.		None	P1	T					
7. 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. N.Y.S. THRWY AUTH SER A	D	Interest			Sold	09/10/15	M	C	

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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18. LONG ISLAND PWR GEN-SER D	C	Interest			Sold	7/12/15	M	C	
19. ERIE CTY NY IND DEV AGCY. SER. A	C	Interest	L	T					
20. NASSAU CTY NY DTD 7/8/2008 SER C	C	Interest	M	T					
21. NYS DORM SALES TAX SER A	C	Interest	L	T					
22. MINNEAPOLIS MINN HEALTH CARE	A	Interest	J	T					
23. ALLEGHENY CTY, PA. HOSP DEV AUTH REV	C	Interest	L	T					
24. NYC, NY SER D	D	Interest			Sold	08/26/15	M	D	
25. NYS DORM MT. SINAI SCH. OF MEDICINE	B	Interest			Sold	09/11/15	K	B	
26. TEX. ST. TRANS COMMN REV	B	Interest			Sold	02/05/15	M	D	
27. NYS REF - SER C	C	Interest	M	T					
28. PA ST. SECOND REF	D	Interest	M	T					
29. NYS LOC GOVT ASSISTANCE CORP	D	Interest	M	T					
30. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
31. NYS THWY SECOND GEN HIGHWAY SER A	C	Interest	M	T					
32. NYS ENVIRON. FACS CORP	C	Interest	M	T					
33. SWARTHMORE BORO AUTH PA COLLEGE REV	C	Interest	M	T					
34. NYC TR CULTURAL RES REV	B	Interest	L	T					

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35. NYC SER D	C	Interest	M	T					
36. SOUTHEASTERN PA TRANS AUTH REV	C	Interest	M	T					
37. NJ ST. ECON DEV AUTH	C	Interest			Sold	08/26/15	M		
38. NYC, NY DTD 10/23/2012 SER B	B	Interest	M	T					
39. BATTERY PARK, NY SENIOR - SER A	C	Interest			Sold	04/28/15	M	D	
40. NYS DORM AUTH SALES TAX SER A	C	Interest	M	T					
41. NASSAU CTY SALES TAX - SER A	C	Interest	M	T					
42. LOUISVILLE & JEFF CTY, KY SER A	C	Interest	M	T					
43. PORT AUTH NY SER 179	D	Interest	M	T					
44. TOBACCO SETT REVENUE ASSET BACKED - SER A	C	Interest	M	T	Sold (part)	10/27/15	L	A	
45. UNIV. CALIFORNIA SER G	C	Interest	M	T					
46. PALM BEACH CTY FL SOL WST AUTH	B	Interest	M	T					
47. PA ST TNPKE COMM SER C	B	Interest	L	T					
48. CHICAGO IL BRD OF ED	B	Interest			Sold	06/15/15	L		
49. SALES TAX ASSET REV SER A	C	Interest	M	T					
50. CENTRAL PLAINS ENERGY PROJ	C	Interest	L	T					
51. NYS THWY AUTH REF	C	Interest	M	T					

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52. NYC NY HSG	C	Interest	M	T	Buy	01/12/15	M		
53. PENNSYLVANIA ST HIGHER	C	Interest			Buy	01/13/15	M		
54.					Sold	02/17/15	M	A	
55. PALM BEACH CTY FL	C	Interest	M	T	Buy	1/14/15	M		
56. LOUISIANA STATE FUND II	C	Interest			Buy	01/13/15	M		
57.					Sold	04/17/15	M		
58. NYC NY TRA	C	Interest	M	T	Buy	01/15/15	M		
59. MIAMI DADE FL	C	Interest	M	T	Buy	01/21/15	M		
60. FAIRFAX CTY, VA	B	Interest			Buy	02/26/15	M		
61.					Sold	09/10/15	M	A	
62. MARYLAND STATE	B	Interest	M	T	Buy	03/15/15	M		
63. NYC, NY TRA	B	Interest			Buy	04/09/15	M		
64.					Sold	06/11/15	M		
65. NYC, NY TRU	B	Interest	M	T	Buy	04/27/15	M		
66. LOUISIANA STATE	B	Interest	M	T	Buy	04/27/15	M		
67. MONROE CTY NY INDL.		None	M	T	Buy	6/17/15	M		
68. NJ ST. ECON D.		None	M	T	Buy	08/26/15	M		

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69. MET TRANSPORTATION AUTH NY	A	Interest	M	T	Buy	09/09/15	M		
70. SACRAMENTO CA CITY FIN AUTH	A	Interest	L	T	Buy	09/30/15	L		
71. NYS DORM AUTH		None	L	T	Buy	12/22/15	L		
72.									
73. MUTUAL FUNDS									
74. GREYCOURT PARTNERS FUND (IRA))	F	Dividend	P1	T					
75. GREYCOURT PARTNERS FUND	G	Dividend	P2	T					
76.									
77.									
78. MISCELLANEOUS									
79. CASH, JPMORGAN CHASE	E	Interest	O	T					
80. FINE ARTS HELD AS TENANT-IN-COMMON		None	P1	W					
81. ARBOR PPTY TRUST		None	K	T					
82. SERVICEMASTER LP		None	M	T					
83.									
84. NOTE: JUDGE STEIN HAS ELECTED NOT TO									
85. LIST INFORMATION BY [REDACTED]									

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.)*

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