

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Weinstein, Jack B.	2. Court or Organization USDC-Eastern District of NY	3. Date of Report 08/27/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 225 Cadman Plaza East Brooklyn, N.Y. 11201		
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.	
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. 1998	TIAA Retirement Plans
2. 1998	New York State Retirement Plans
3. 2000	New York State Savings Plan Schooling (2)

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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. 2013	Royalties, Foundation Press	\$3,115.00
2. 2013	Teachers Ins & Annuity Pensions	\$12,852.00
3. 2013	NY State Retirement System Pension	\$9,038.00
4. 2013	Judicial Retiree & Survivors	\$170,493.00

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.)*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. Wells Fargo bank deposit sweep	A	Interest	M	T					
2. AT&T	B	Dividend			Sold	11/11/13	K	C	
3. Atlas Pipeline Partners	A	Dividend	J	T					
4. Bed Bath & Beyond Inc	A	Dividend			Sold	11/11/13	K	C	
5. Buckeye partners lp	B	Dividend	K	T					
6. CBRE Group inc class A	A	Dividend			Sold	05/06/13	K	C	
7. Conocophillip	A	Dividend			Sold	11/11/13	K	D	
8. Clorox Company	B	Dividend			Buy	06/13/13	K		
9.					Sold	11/11/13	K	B	
10. Dunkin brands GRP Inc	A	Dividend			Sold	05/06/13	K	C	
11. Kellogg company	A	Dividend			Sold	11/11/13	J	B	
12. Starwood Hotels & Resort	A	Dividend			Sold	05/06/13	K	C	
13. Verizon communication com	C	Dividend			Sold	11/11/13	L	D	
14. Wynn Resorts LTD	A	Dividend			Sold	05/06/13	K	C	
15. Caterpillar finl 2/17/14	A	Interest	J	T					
16. Sunoco inc - 10/15/14	A	Interest	J	T	Sold (part)	11/08/13	J	A	
17. Morgan Stanley - 01/26/15	A	Interest			Sold	11/08/13	J	A	

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. JP Morgan Chase & Co - 10/01/15	B	Interest	K	T					
19. Keybank natl assn - 03/03/16	A	Interest	K	T					
20. Goldman Sachs group inc - 01/15/17	B	Interest	K	T					
21. JP Morgan Chase & Co - 06/27/17	A	Interest	K	T					
22. General electric cap corp - 09/15/17	B	Interest	K	T					
23. Walt Disney Company - 12/15/17	A	Interest	J	T					
24. Target corp 01/15/18	A	Interest	J	T					
25. Verizon communications - 02/15/18	A	Interest	J	T					
26. Archer Daniels - 03/15/18	A	Interest	J	T					
27. Berkshire Hathaway fin - 05/15/18	B	Interest			Sold	11/08/13	K	C	
28. Metlife Inc - 08/15/18	A	Interest	J	T					
29. Vanderbilt University 04/01/19	A	Interest	J	T					
30. Buckeye partners lp-due 08/16/19	B	Interest	K	T					
31. Safeway Inc due 08/15/19	B	Interest	K	T					
32. Time Warner Cable Inc due 08/15/19	A	Interest	J	T	Buy	09/12/13	J		
33. Aloe inc due 08/15/20	B	Interest	K	T					
34. Chesapeake Energy Corp due 08/15/20	A	Interest	J	T	Buy	07/02/13	J		

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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	
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. Entergy corp due 09/15/20	A	Interest	J	T					
36. Hewlett-Packard co due 12/09/21	B	Interest	K	T					
37. Raymond James financial senior note due 04/01/24	E	Interest	N	T					
38. Baltimore MD taxable due 10/15/26	A	Interest			Sold	06/13/13	K	A	
39. Baltimore MD taxable due 10/15/26	A	Interest			Sold	01/23/13	J	A	
40. capital one bank 01/23/13	A	Interest			Sold	03/12/13	K	A	
41. Discover bank greenwood cd 04/29/13	A	Interest			Sold	01/04/13	K	A	
42. Goldman Sachs Bank 10/22/13	C	Interest			Sold	01/04/13	L	B	
43. Goldman Sachs Bank 01/14/19	B	Interest	K	T					
44. American Express Bank 03/18/19	A	Interest	J	T	Sold (part)	11/08/13	J	A	
45. Cit bank salt lake city 04/15/19	C	Interest			Sold	11/08/13	M	D	
46. GE capital finl inc 05/28/19	C	Interest			Sold	11/08/13	L	D	
47. hsbc bank usa 07/13/19	C	Interest			Sold	11/08/13	M	B	
48. Toyota finl svgs bk hend 10/23/19	A	Interest			Sold	11/08/13	J	A	
49. Hometrust bank clyde nc 08/26/21	A	Interest	K	T					
50. BP capital market plc - 05/08/14	A	Interest			Sold	01/04/13	K	A	
51. Barclays bank plc - 09/22/16	B	Interest			Sold	11/08/13	K	B	

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52. Credit suisse - 01/14/20	B	Interest			Sold	11/08/13	K	A	
53. Anglogold holdings PLC due 04/15/20	B	Interest	K	T					
54. Lloyd TSB bank due 01/21/21	B	Interest	K	T					
55. Virtus opportunities TR premium	A	Interest			Sold	03/18/13	J	B	
56. Virtus opportunities TR premium	A	Interest	L	T	Buy	03/18/13	J		
57. Invesco balanced risk fund	A	Interest	K	T	Buy	05/06/13	K		
58. First Eagle Sogen Glodal FD	A	Interest	L	T	Buy	11/08/13	L		
59. ING Mutual FDS Global BD	A	Interest	K	T	Buy	05/06/13	K		
60. Janus Invst FD Flexible FD	A	Interest	K	T	Buy	05/17/13	K		
61. Mainstay FDS TR Marketfield FD	A	Interest	L	T	Buy	11/08/13	L		
62. Virtus opportunities TR-Virtus Dynamic	A	Interest	L	T	Buy	11/08/13	L		
63. Pimco All Asset Authority Fund	A	Interest	K	T	Buy	02/15/13	K		
64. Steelpath MLP FDS TR	C	Interest	L	T	Buy	06/13/13	L		
65. Ishares core S&P Midcap	A	Interest	K	T	Buy	11/15/13	K		
66. Ishares core S&P Midcap	A	Interest	K	T	Buy	11/15/13	K		
67. Proshare Ultra Midcap 400	A	Interest	K	T	Buy	11/15/13	K		
68. Proshare Ultra S&P ET	A	Interest	K	T	Buy	11/15/13	K		

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69. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy	12/03/13	J		
70. Cabot Oil & Gas	A	Dividend	J	T	Buy	11/19/13	J		
71. Celgene Corp	A	Dividend	J	T	Buy	11/19/13	J		
72. Citigroup Inc	A	Dividend	J	T	Buy	11/19/13	J		
73. Delta Air Lines Inc New	A	Dividend	J	T	Buy	12/31/13	J		
74. Devon energy corp	A	Dividend	J	T	Buy	12/05/13	J		
75. Edison Intl	A	Dividend			Buy	11/19/13	J		
76.					Sold	12/06/13	J	A	
77. Eli Lilly & Co	A	Dividend	J	T	Buy	11/19/13	J		
78. EOG Resources Inc	A	Dividend	J	T	Buy	12/12/13	J		
79. Ford Motor Co	A	Dividend			Buy	11/19/13	J		
80.					Sold	12/23/13	J	A	
81. Gamestop corp class A	A	Dividend	J	T	Buy	12/04/13	J		
82. Grainger WW Inc	A	Dividend	J	T	Buy	11/21/13	J		
83. Green Mountain coffee roaster inc.	A	Dividend	J	T	Buy	11/27/13	J		
84. Home Depot Inc	A	Dividend	J	T	Buy	12/04/13	J		
85. Pepsico Inc	A	Dividend	J	T	Buy	12/04/13	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. Phillip Morris Intl Inc.	A	Dividend	J	T	Buy	11/22/13	J		
87. SLM Corp	A	Dividend	J	T	Buy	12/16/13	J		
88. SM Energy Co Com	A	Dividend	J	T	Buy	11/19/13	J		
89. Starbucks Corp	A	Dividend	J	T	Buy	11/21/13	J		
90. TE Connectivity LTD	A	Dividend	J	T	Buy	11/19/13	J		
91. Union Pacific Corp	A	Dividend	K	T	Buy	11/19/13	J		
92. Visa Inc Class A	A	Dividend	J	T	Buy	11/19/13	J		
93. Southwestern Energy Co.	A	Dividend			Buy	11/19/13	J		
94.					Sold	11/25/13	J	A	
95. Verison Communications Com	A	Dividend			Buy	11/11/13	L		
96.					Sold	11/19/13	L	D	
97. Wells Fargo bank deposit sweep	A	Interest			Sold	09/30/13	J	A	
98. Freeport NY genl oblig ser 1 3/15/23	A	Interest			Sold	03/01/13	J	A	
99. New York NY genl oblig ser 1 3/1/24	A	Interest			Sold	03/01/13	J	A	
100. New York NY genl oblig ser 1 3/1/22	A	Interest			Sold	03/01/13	J	A	
101. New York st muni bond bank agy 12/1/23	A	Interest			Sold	06/03/13	J	A	
102. New York ny city mun wtr fin auth 6/15/22	A	Interest	J	T					

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103. New York st dorm auth rev aid long 11/1/15	A	Interest	J	T					
104. Tarrytown ny union free sch dist 1/15/17	A	Interest	J	T					
105. New York st dorm auth rochester ser a 7/1/23	A	Interest	J	T					
106. New York st environmental facs 12/15/20	A	Interest	J	T					
107. New York ny city genl oblig ser a 8/1/21	A	Interest	K	T	Sold (part)	11/11/13	K	A	
108. Rockland co ny various purposes 8/15/21	A	Interest	J	T					
109. Buffalo ny fiscal stability auth 9/1/21	A	Interest	J	T					
110. Brookhaven NY open space preservation 11/1/21	A	Interest	J	T					
111. Suffolk co ny pub impt serial ser a 5/15/22	A	Interest	J	T					
112. Florida st Brd Ed Pub 6/1/22	A	Interest	J	T					
113. New York ny city mun wtr fin auth 6/15/22	A	Interest	J	T					
114. Long Island power auth ny 12/1/22	A	Interest	K	T					
115. New York st envr facs corp st clean 6/15/23	A	Interest			Sold	08/12/13	J	A	
116. New York st envr facs corp st clean 6/15/23	A	Interest			Sold	08/12/13	J	A	
117. New York ny city genl oblig ser n 8/1/23	A	Interest			Sold	07/11/13	J	A	
118. New York st enviro facs corp st 6/15/24	A	Interest			Sold	08/12/13	J	A	
119. New York st dorm au memorial sloan 7/1/24	A	Interest	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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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)
120. New York ny city genl oblig ser b 8/1/24	A	Interest	J	T					
121. New York st envir facs 6/15/25	A	Interest			Sold	07/11/13	K	A	
122. New York genl oblig 10/1/25	A	Interest	J	T					
123. Metropolitan transn auth ny ser a 11/1/25	A	Interest	K	T					
124. Metropolitan transn auth ny ser oid 11/15/25	A	Interest	J	T					
125. New York st twy auth gen rev ser g 1/1/26	B	Interest	K	T					
126. New York st twy auth st pers income 3/125/26	A	Interest	K	T					
127. New York st twy auth st pers income 3/15/26	A	Interest	K	T					
128. New York city muni wfr fin auth 6/15/28	A	Interest	J	T					
129. New York st dorm auth revs 7/1/28	A	Interest	J	T					
130. NY NY city transitional fin auth bldg due 1/15/31	B	Interest	K	T					
131. New York st dorm auth pers income 12/15/26	A	Interest	K	T					
132. NY Dorm auth rev due 2/15/27	A	Interest	K	T					
133. New York city genl oblig fisca ser g 8/1/27	A	Interest			Sold	07/11/13	K	A	
134. Port Auth NY 7 NJ due 10/15/27	A	Interest	K	T					
135. NYS Dorm auth due 11/1/31	B	Interest	K	T					
136. Metropolitan transn auth NY due 11/15/32	A	Interest	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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Name of Person Reporting

Weinstein, Jack B.

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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)
137. NY St enviro fcs corp due 6/15/33	A	Interest	K	T					
138. NY Dorm auth revs due 7/1/23	A	Interest	J	T					
139. Triborough brdg & tunl auth 11/15/33	B	Interest	K	T					
140. Metropolitan Transn auth ny rev due 11/15/34	A	Interest	K	T					
141. NYS Dorm auth st pers inc tax due 12/15/35	A	Interest	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ Jack B. Weinstein**

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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