

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Hochberg, Faith S.	2. Court or Organization District of New Jersey	3. Date of Report 03/26/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 03/07/2015
7. Chambers or Office Address U.S. Post Office and Courthouse Federal Square Newark, N.J. 07101		
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. VP and Secretary	Hochberg Foundation, Inc.
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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. 2014	Artist - self employed	\$3,617.00
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. 2014	Professor of Surgery, NYU Medical Center
2. 2015	Professor of Surgery, NYU Medical Center
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. Colorado Bar Organization	1/8-12/2014	Vail, CO	Educational panel	travel, meals, lodging
2. USC Gould School of Law	3/17-19/2014	Los Angeles, CA	Educational panel	travel, meals, lodging
3. The Sedona Conference	4/9-11/2014	San Francisco, CA	Educational panel	travel, meals, lodging
4. George Washington Law School	5/4-6/2014	Washington, DC	Educational panel	travel, meals, lodging
5. Stanford Law School	5/15-17/2014	San Francisco, CA	Educational panel	travel, meals, lodging
6. International Property Owners	9/7-11/2014	Vancouver, BC, Canada	Educational panel	travel, meals, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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. AAPL	A	Int./Div.	O	T					
2. BRK A	A	Int./Div.	P1	T					
3. OAKGX	A	Interest			Sold	12/08/14	M	F	
4. OMEGA FUND	D	Int./Div.	P1	T					
5. OMEGA CREDIT OPP FUND	E	Dividend	P1	T					
6. SIGA	A	Int./Div.	O	T					
7. SPY	B	Dividend	O	T					
8. PIMCO Real symbol PRTCX	A	Dividend			Sold	07/16/14	L	A	
9. Templeton symbol TEGBX	A	Int./Div.			Sold	07/16/14	K	B	
10. U.S. Treasury Obligations (account with Federal Reserve)	C	Interest	P1	T					
11. Pine Street Partners Limited Partnership	E	Distribution	P1	T					
12. Goldman Sachs Real Estate Trusts	D	Distribution	M	T					
13. U.S. Treasury Money Market Funds	B	Interest	P1	T					
14. TIAA-CREF	E	Distribution	O	T					
15. NJ Highway (Trpk) Bonds	D	Interest	M	T					
16. NJ Econ Development Bonds	E	Interest	N	T					
17. North HudsonNJ Sewer Bonds	E	Interest	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 ~\$250,000,001 - \$500,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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)
18. NJ Educational Dev Bonds	D	Interest	M	T					
19. MontgomeryMD Bonds	B	Interest	K	T					
20. NJ Transit (Tpke) Bonds	E	Interest	N	T					
21. ClaytonBoroNJ Bonds	E	Interest	L	T					
22. North HudsonNJ Sewer Bonds	B	Interest			Sold	05/14/14	M		
23. NJ Sports Auth	C	Interest			Sold	01/17/14	M		
24. North NJ Water Bonds	D	Interest	M	T					
25. NJ Healthcare Bonds	E	Interest	N	T	Buy (add'l)	06/06/14	M		
26. Monmouth County, NJ Bonds	E	Interest	N	T					
27. Lower Colorado River Bonds	C	Interest	L	T					
28. NJ Health CRE FFA	D	Interest	M	T					
29. NJ Healthcare	D	Interest	N	T					
30. Essex County, NJ Imprv Auth	C	Interest			Sold	08/29/14	M		
31. NJ Transit Bonds	E	Interest	N	T					
32. NJ Healthcare	C	Int./Div.	L	T					
33. NJ Tobacco Settlement Bonds	C	Interest			Sold	04/07/14	M		
34. NJ Econ Development Bonds	D	Interest	L	T	Buy (add'l)	04/07/14	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 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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)
35. Southern NJ Transit Bonds	D	Interest	M	T					
36. Passaic Valley Sewer Bonds	B	Interest	L	T					
37. Atlantic County., NJ Bonds	C	Interest	K	T					
38. NJ Transit Bonds	D	Interest	M	T					
39. NJ EDA Water Bonds	D	Interest	M	T					
40. NJ ST CTFS Partnership	D	Interest	M	T					
41. NJ Housing	D	Interest	M	T					
42. NJ Muni Bond Fund	E	Interest	P1	T					
43. Buckeye Tobacco Bond	C	Interest	L	T	Buy	12/01/14	M		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Hochberg, Faith S.

Date of Report

03/26/2015

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/ Faith S. Hochberg**

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