

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Irizarry, Dora L.	2. Court or Organization U.S. District Court, EDNY	3. Date of Report 09/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. District Court, EDNY 225 Cadman Plaza East Brooklyn, NY 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.	Fellow	New York Bar Foundation
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.	2008	ETRADE - IRA - dormant account - in cash - from liquidated and transferred former employer Hoguet Newman Regal, LLP 401K Plan (No Control)
2.	1996	NY State Unified Court System Pension Fund, Pension Payable upon Age 65
3.	Unknown	NY City Deferred Compensation Plan, Payable upon Age 65

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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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Administrative Office of the Federal Courts	April 4 - 8, 2016	Washington, DC	New Chief Judges Orientation followed by Chief Judges Conference	Transportation, Hotel, Meals
2. Judiciary - Court	May 23 - 26, 2016	Saratoga Springs, NY	Circuit Judicial Conference	Transportation, Hotel, Meals
3. Judicial Conference, Conference Committee	June 5 - 7, 2016	Boston, MA	Meeting of U.S. Judicial Conference Committee	Transportation, Hotel, Meals
4. Administrative Office of the Federal Courts	October 12 - 14, 2016	Washington, DC	New Chief Judges Orientation	Transportation, Hotel, Meals
5. Judicial Conference, Conference Committee	November 30, 2016 - December 2, 2016	Washington, DC	Meeting of U.S. Judicial Conference Committee	Transportation, Hotel, Meals

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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.	American Education Services	Student Loan [REDACTED]	K
2.	HSBC Bank	credit card	J
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. NY State Pension Fund		None	K	W					
2. NY City Deferred Compensation		None	N	W					
3. ETRADE IRA inactive	A	Interest	J	T					
4. HSBC Cash Account (X)	A	Interest	J	T					
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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.)*

In connection with the items listed in Part VII. Investments and Trusts, please note that each of those items (except #4) are retirement accounts from which I get no income distribution as I have not yet retired. As to Item #1, I have been advised by a New York State Retirement Service representative that, since I severed service with New York State more than 7 years ago, my pension contribution is no longer kept in an interest bearing account as I have not made any new contributions to the account since termination of service. As a result, no interest is being generated. As to Item #2, the New York City Deferred Compensation Account, which is similar to the Federal Thrift Savings Account (notably, this federal account need not be reported), the statements I receive do not indicate income from any dividend, interest, or capital gain. Instead, the statements indicate an increase in value resulting only from the change in market value of assets, and, thus, are not reportable. See the Financial Disclosure Report Filing Instructions for Judicial Officers and Federal Employees, Commentary at pp. 32, 40. Revised February 2017. The ETRADE IRA is under \$3,000.00 in total value and the interest was less than \$1 for the end of calendar year 2016.

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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/ **Dora L. Irizarry**

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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