

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) Ellis, Ronald L.	2. Court or Organization Southern District of New York	3. Date of Report 11/23/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - f/t	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 500 Pearl Street Suite 1970 New York, NY 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor of Law	Columbia University Law School
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.	

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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	Columbia University Law School	\$5,000
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. 2015	Berkeley Carroll School - Salary
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. NYU School of Law	November 13-15, 2015	Manhasset, NY	Seminar/Panel (Teach)	Lodging, Meals
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.)*

<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. Axa Equitable (Formerly "The Equitable"; 401(K); Alliance Common Stock	A	Dividend	M	T					
2. Vanguard Group: Rollover Pension; Wellington Fund	A	Dividend	N	T					
3. TIAA-CREF; Retirement; Mutual Fund Account									
4. -- CREF Stock	A	Dividend	N	T					
5. -- TIAA Real Estate	D	Dividend	M	T					
6. -- CREF Fixed Income	A	Dividend	M	T					
7. JP Morgan Chase Bank; Checking/ Savings	A	Interest	M	T					
8. JP Morgan Chase Bank; IRA Acct 1; Alliance/Putnam Funds, Money Mkt	C	Dividend	L	T					
9. JP Morgan Chase Bank; IRA Acct 2; Alliance/Putnam Funds, Money Mkt	B	Dividend	L	T					
10. Prudential Insurance Co. - Whole Life	A	Dividend	L	T					
11. Northwestern Mutual Life Insurance Policy 1 - Whole Life	A	Dividend	J	T					
12. Northwestern Mutual Life Insurance Policy 2 - Whole Life	A	Dividend	J	T					
13. Met Life Money Market	A	Interest	K	T					
14. JPMorgan Investments; Managed Brokerage Account									
15. -- ALLIANCE BERNSTEIN INTER DIVERSIFIED MUNICIPAL FUND A - AIDAX	A	Dividend			Closed	08/14/15	J	A	
16. -- ASTON/AIRPOINTE MID CAP FUND CL 1 - ABMIX	A	Dividend	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 \$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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☐ 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 I (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)

17. -- AMERICAN CENTURY INTER-TERM TAX FREE BD FD - AXBIX INSTL CL	A	Dividend	J	T					
18. -- BLACKROCK FDS - BHYIX	A	Dividend	J	T					
19. -- BLACKROCK INTERNATIONAL INDEX FUND INSTL CL - MAIIX	A	Dividend	J	T					
20. -- CAUSEWAY CAP MGMT TR INTL VALUE FD INSTL CL - CIVIX	A	Dividend	J	T					
21. -- DELAWARE GROUP EMERGING MARKETS FUND - DEMIX	A	Dividend			Sold	08/10/15	J		
22. -- DODGE & COX FUNDS INTERNATIONAL STOCK FUND - DODFX	A	Dividend	J	T					
23. -- GOLDMAN SACHS SMALL CAP - GSSIX	A	Dividend			Sold	03/10/15	J		
24. -- HARBOR INTERNATIONAL FUND INSTITUTIONAL - HAINX	A	Dividend	J	T					
25. -- J P MORGAN DEPOSIT SWEEP	A	Dividend	J	T					
26. -- JPMORGAN TR I INTER TAX FREE BD FD INSTL CL - JITIX	A	Dividend	J	T					
27. -- JPMORGAN TR I U S EQUITY FD INSTL CL - JMUEX	A	Dividend	J	T					
28. -- JPMORGAN TR I MID CAP EQUITY FD SELECT CL - VSNXG	A	Dividend	J	T					
29. -- JPMORGAN TR I SMALL CAP EQUITY FD SELECT CL I - VSEIX	A	Dividend			Sold	11/12/15	J		
30. -- JPMORGAN TR II HIGH YIELDFD SELECT CL - OHYFX	A	Dividend	J	T					
31. -- JPMORGAN VALUE ADVANTAGE FD INSTL CL - JVAIX	A	Dividend	J	T					
32. -- JPMORGAN TR I INTLVALUE FD INSTL - JNUSX	A	Dividend			Sold	04/07/15	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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33. -- JPMORGAN TR II SHORT-INTER MUN BD FD INSTL - JIMIX	A	Dividend	J	T					
34. -- MAINSTAY HIGH YIELD CORPORATE BOND FUND CC 1 - MHYIX	A	Dividend	J	T					
35. -- MASSACHUSETTS INVESTORS TRUST CL 1 - MITIX	A	Dividend	J	T					
36. -- OAKMARK FUND - OAKMX	A	Dividend	J	T					
37. -- PIMCO LOW DURATION FUND INSTL CL - PTLDX	A	Dividend	J	T					
38. -- T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE FUND - PRSMX	A	Dividend	J	T					
39. -- WELLS FARGO ADVANTAGE GROWTH FUND CL 1 - SGRNX	A	Dividend	J	T					
40. -- WELLS FARGO ADVANTAGE FUNDS EMERGING MKTS EQ INSTL - EMGNX	A	Dividend			Sold	08/10/15	J		
41. -- ISHARES MSCI EAFE ETF - EFA	A	Dividend	J	T					
42. -- ISHARES RUSSELL 2000ETF - IWM	A	Dividend			Sold	03/12/15	J		
43. -- SPDR S&P 500 ETF TRUST - SPY	A	Dividend	J	T					
44. -- ABERDEEN ASIA PACIFIC - AAPIX					Buy	03/10/15	J		
45.					Sold	08/26/15	J		
46. -- BERNSTEIN SANFORD C FD - AIDYX	A	Dividend	J	T	Open	08/14/15	J		
47. -- BLACKROCK FDS MIDCAP IND - EX FD - BRMIX	A	Dividend	J	T	Buy	10/01/15	J		
48. -- BROWN ADVISORY FDS - BAFHX	A	Dividend	J	T	Buy	08/10/15	J		

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49. -- DEUTSCHE X TRACKERS MSCI - DBEF	A	Dividend	J	T	Buy	04/07/15	J		
50. -- WISDOMTREE JAPAN HEDGED EQUITY FUND	A	Dividend	J	T	Buy	08/10/15	J		
51.									
52.									
53.									

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

Part VII, Asset on line 15 was exchanged for asset on line 46 on 8/14/15.

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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/ **Ronald L. Ellis**

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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Washington, D.C. 20544