

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) Orenstein, James	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 05/19/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (full-time)	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 U.S. Courthouse 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct professor	New York University School of Law
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. 2013	New York University School of Law	\$26,955.00
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. 2013	Department of Justice -- U.S. Attorney's Office, Eastern District of New York
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Federal Bar Council	Tickets To Law Day Dinner	\$650.00
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.	Department of Education Direct Loan Servicing	Family member's student loan	K
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. Chase bank accounts (with Family Member #2)	A	Interest	J	T					
2. IBM	A	Dividend	J	T					
3. Verizon	A	Dividend	J	T					
4. [REDACTED] Family Real Estate Trust (as appraised on 11/12/2008)	A	Interest	K	Q					
5. JO UBS ACCT (...12)	A	Int./Div.	J	T					
6. --UBS Bank USA Deposit Acct.	A	Interest	J	T					
7. -- UNTS First Trust Target VIP Aug 2012.	A	Int./Div.			Redeemed	11/14/13	J	B	
8. -- UNTS FT TGT VIP 4Q 13	A	Dividend	J	T	Buy	11/15/13	J		
9. JO UBS ACCT (...83)		None	M	T					
10. -- Columbia Growth NY 529 Portfolio Class A		None			Merged (with line 11)	01/01/13	M		See note in Part VIII
11. -- JPMorgan 529 Moderate Growth Portfolio Fund Class A		None	M	T	Open	01/01/13	M		See note in Part VIII
12. JO UBS ROTH (...47)	D	Int./Div.	N	T					
13. --UBS Bank USA Deposit Account	A	Interest	J	T					
14. --Apple Inc	B	Dividend	L	T					
15. --EMC Corp	A	Dividend	K	T					
16. --Google Inc		None	K	T					
17. --Ishares Trust Core S&P Smallcap	A	Dividend	K	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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18. -- Ishares Trust S&P Latin Amer 40 Index Fund	A	Dividend	J	T					
19. --SPDR S&P Midcap 400	A	Dividend	K	T					
20. --Fidelity Advisor New Insights Fund	C	Dividend	K	T	Buy (add'l)	12/16/13	J		
21. --El Paso Pipeline Partners LP	B	Dividend	K	T					
22. --Nuveen Quality Preferred Income Fund 2	A	Dividend	J	T					
23. --Nuveen Quality Preferred Income Fund	A	Dividend	J	T					
24. --Alliance Bernstein High Income Fund	C	Dividend	K	T	Buy (add'l)	02/01/13	J		
25.					Buy (add'l)	03/01/13	J		
26.					Buy (add'l)	04/02/13	J		
27.					Buy (add'l)	05/01/13	J		
28.					Buy (add'l)	06/03/13	J		
29.					Buy (add'l)	07/01/13	J		
30.					Buy (add'l)	08/01/13	J		
31.					Buy (add'l)	09/03/13	J		
32.					Buy (add'l)	10/01/13	J		
33.					Buy	11/01/13	J		
34.					Buy (add'l)	12/02/13	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	
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35.					Buy (add'l)	12/11/13	J		
36. --Putnam Diversified Income Trust	A	Dividend	J	T					
37. -- Templeton Global Total Return Class A	B	Dividend	K	T	Buy (add'l)	12/16/13	J		
38. -- SPDR Gold Trust		None	J	T					
39. -- Invesco Balanced-Risk Allocation Fund A	B	Dividend	K	T	Buy (add'l)	12/16/13	J		
40. -- Pimco All Assets Auth-A	A	Dividend			Sold	10/10/13	K	A	
41. --Putnam Absolute Return 500	A	Dividend	J	T	Sold (part)	01/31/13	J	A	
42.					Sold (part)	05/01/13	J	A	
43.					Sold (part)	07/31/13	J	A	
44. -- Putnam Capital Spectrum A	A	Dividend	K	T	Buy	10/10/13	K		
45.					Buy (add'l)	12/10/13	J		
46. FAMILY #2 UBS ROTH (...48)	C	Int./Div.	L	T					
47. -- UBS Bank USA Dep Acct	A	Interest	J	T					
48. -- American Funds Capital World Growth & Income Fund Cl A	A	Dividend	K	T					
49. -- American Funds New World Fund Cl A	A	Dividend	J	T					
50. -- American Funds Smallcap World Fund Cl A	B	Dividend	K	T	Buy (add'l)	12/27/13	J		
51. -- American Funds Euro Pacific Growth Fund Cl A	A	Dividend	J	T					

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52. -- American Funds Growth Fund of America CI A	A	Dividend	J	T	Buy (add'l)	12/16/13	J		
53. -- American Funds Income Fund of America CI A	A	Dividend	J	T					
54. -- American Funds New Perspective Fund CI A	A	Dividend	J	T	Buy (add'l)	12/27/13	J		
55. -- American Funds Washington Mutual Investors Fund CI A	A	Dividend	J	T					
56. -- American Funds American Balanced Fund CI A	A	Dividend	J	T					
57. -- Kern County CA Municipal Bond		None	J	T					
58. JO UBS ACCT (...34)	A	Dividend			Closed	03/21/13	J		
59. -- RMA NY Money Fund	A	Dividend			Sold	02/04/13	K		See note, Part VIII
60. -- Sallie Mae Ednotes Callable		None			Distributed	02/04/13	J		Transfer to line 86
61. -- Florida State Brd. Ed. Cap. Outlay FSA		None			Distributed	02/04/13	J		Transfer to line 87
62. -- John Hancock New York Venture Annuity		None			Distributed	03/21/13	M		Transfer to line 137
63. JO UBS ACCT (...29)		None	N	T					
64. -- Bond Fund of America		None	K	T					
65. -- Capital World Growth & Income Fund		None	L	T					
66. -- Euro Pac Growth Fund		None	K	T					
67. -- Growth Fund of America		None	K	T					
68. -- Income Fund of America		None	K	T	Buy (add'l)	01/03/13	J		

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69. -- New Perspective Fund		None	K	T					
70. -- Smallcap World Fund		None	K	T					
71. -- Washington Mutual Investors Fund		None	K	T	Buy (add'l)	01/03/13	J		
72. JOINT UBS ACCT (...48)	D	Int./Div.	P1	T					
73. -- UBS Bank USA Dep Acct	A	Interest	L	T	Distributed (part)	02/04/13	O		Transfer to line 140
74.					Spinoff (from line 142)	02/07/13	K		Transfer between accounts
75.					Spinoff (from line 143)	02/11/13	M		Transfer between accounts
76.					Spinoff (from line 144)	04/01/13	L		Transfer between accounts
77.					Spinoff (from line 145)	05/03/13	K		Transfer between accounts
78.					Spinoff (from line 146)	05/22/13	J		Transfer between accounts
79.					Spinoff (from line 147)	05/28/13	K		Transfer between accounts
80.					Spinoff (from line 148)	07/18/13	K		Transfer between accounts
81.					Spinoff (from line 149)	08/05/13	L		Transfer between accounts
82.					Spinoff (from line 152)	09/03/13	K		Transfer between accounts
83.					Spinoff (from line 153)	09/10/13	J		Transfer between accounts
84.					Spinoff (from line 154)	10/01/13	K		Transfer between accounts
85.					Spinoff (from line 155)	10/15/13	J		Transfer between accounts

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86. -- Sallie Mae Ednotes Callable	A	Interest	J	T	Spinoff (from line 60)	02/04/13	J		Transfer between accounts
87. -- Florida State Brd. Ed. Cap. Outlay FSA	A	Interest			Spinoff (from line 61)	02/04/13	J		Transfer between accounts
88.					Redeemed	06/03/13	J	B	
89. -- Long Island NY Pwr Elec Municipal Bonds		None	M						
90. -- NYC Water Municipal Bonds	B	Interest	K	T	Sold (part)	08/30/13	K	D	
91.					Sold (part)	09/06/13	K	D	
92.					Sold (part)	10/16/13	L	D	
93. -- NYS Dorm Municipal Bond		None	K						
94. -- Oklahoma City OK Municipal Bond		None	K	T					
95. -- Indiana Transn Fin Auth Municipal Bond		None	L	T					
96. -- Dry Creek CA Municipal Bond		None	J	T	Buy	02/07/13	J		
97. -- Yorba Linda CA Municipal Bond		None	K	T					
98. -- Clark Co Wash Vancouver Ser C Municipal Bond		None			Sold	08/30/13	J	A	
99. -- DC Washington Mandarin Hotel Municipal Bond		None	K	T					
100. -- Palo Alto CA Municipal Bond		None	K	T					
101. -- Adams 12 Five Star Schs Colo Municipal Bond		None	K	T					
102. -- New York City SR A Municipal Bond		None	J	T					

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103. -- Brock Tex Indpt Sch Dst Municipal Bond		None	K	T					
104. -- Prosper Tx Isd Rfdg Bk Municipal Bond		None	K	T					
105. -- Medina Valley TX Municipal Bond		None	K	T					
106. -- San Rafael CA City Hi GH Municipal Bond		None	L	T					
107. -- Utah Tran Auth Sales Tax Municipal Bond		None	K	T					
108. -- Lewisville TX Municipal Bonds		None	K	T					
109. -- Manhattan Beach USD Cal Municipal Bond		None	K	T					
110. -- Chicago IL Bd of Ed Municipal Bond		None	K	T					
111. -- Athens-Clarke County GA Municipal Bond	A	Interest	K	T					
112. -- Monterey Peninsula CA Municipal Bond		None	K	T					
113. -- Chicago IL Lakefront Municipal Bond		None	K	T					
114. -- Houston TX Wtr & Swr Municipal Bond		None	K	T					
115. -- Washington State Ser E Municipal Bond		None	L	T					
116. -- NJ Trans Trust Municipal Bonds		None	M	T					
117. -- Wentzville Mo Sch Municipal Bond		None	K	T					
118. -- St Johns Cnty FL Wtr Swr Sr B Municipal Bond		None	K	T	Buy	02/12/13	K		
119. -- Escondido CA UHSD Municipal Bond		None	K	T	Buy	02/08/13	K		

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. -- San Joaquin Delta Comnty Ser B Municipal Bond		None	L	T	Buy	02/08/13	K		
121. -- Triborough Bridge & Tunnel Municipal Bond		None			Buy	02/12/13	K		
122.					Sold	11/21/13	K		
123. -- Denton TX Indep Sch Municipal Bond		None	K	T					
124. -- Mesquite TX ISD Municipal Bond		None	K	T					
125. -- Washington St Mtr Vehicl Municipal Bond		None	L	T	Buy	02/07/13	K		
126. -- Ennis TX Indpt Sch Dst Municipal Bond		None	J	T					
127. -- Evergreen CA Elem Sch Dist Municipal Bond		None	J	T	Buy	02/07/13	K		
128. -- Pinco Dynamic Cr Income Fund	C	Dividend	L	T	Buy	01/31/13	L		
129.					Buy (add'l)	06/03/13	J		
130.					Buy (add'l)	07/01/13	J		
131.					Buy (add'l)	08/01/13	J		
132.					Buy (add'l)	09/03/13	J		
133.					Buy (add'l)	10/01/13	J		
134.					Buy (add'l)	11/01/13	J		
135.					Sold (part)	11/22/13	L		
136.					Buy (add'l)	12/02/13	J		

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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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. -- John Hancock New York Venture Annuity		None	N	T	Spinoff (from line 62)	03/21/13	M		Transfer between accounts
138. -- Lincoln Life Moneyguard Reserve		None	K	T	Buy	07/02/13	K		
139. JOINT UBS ACCT (...49)	F	Int./Div.	P1	T					
140. -- UBS Bank USA Dep Acct	A	Interest	K	T	Spinoff (from line 73)	02/04/13	O		Transfer between accounts
141.					Spinoff (from line 59)	02/04/13	K		Transfer between accounts
142.					Distributed (part)	02/07/13	K		Transfer to line 74
143.					Distributed (part)	02/11/13	M		Transfer to line 75
144.					Distributed (part)	04/01/13	L		Transfer to line 76
145.					Distributed (part)	05/03/13	K		Transfer to line 77
146.					Distributed (part)	05/22/13	J		Transfer to line 78
147.					Distributed (part)	05/28/13	K		Transfer to line 79
148.					Distributed (part)	07/18/13	K		Transfer to line 80
149.					Distributed (part)	08/05/13	L		Transfer to line 81
150.					Distributed (part)	08/14/13	K		Transfer to line 138
151.					Distributed (part)	08/21/13	J		Transfer to line 1
152.					Distributed (part)	09/03/13	K		Transfer to line 82
153.					Distributed (part)	09/10/13	J		Transfer to line 83

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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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)
154.					Distributed (part)	10/01/13	K		Transfer to line 84
155.					Distributed (part)	10/15/13	J		Transfer to line 85
156. -- RMA Government Portfolio	A	Dividend			Buy (add'l)	02/05/13	N		
157.					Sold (part)	02/08/13	K		
158.					Sold (part)	02/12/13	M		
159.					Sold (part)	02/12/13	K		
160.					Sold	02/14/13	M		
161. -- Apple Computer Inc	B	Dividend	L	T					
162. -- AT&T Inc	B	Dividend	K	T					
163. -- Centurylink Inc	A	Dividend	J	T					
164. -- Lorillard Inc	B	Dividend	K	T	Buy (add'l)	03/11/13	J		
165.					Buy (add'l)	06/10/13	J		
166.					Buy (add'l)	09/10/13	J		
167.					Buy (add'l)	12/10/13	J		
168. -- Salesforce.com Inc		None	K	T					
169. -- Ishares Trust S&P Latin Amer 40 Index Fund	A	Dividend	J	T					
170. -- Blackrock U.S. Opportunities		None			Sold	02/14/13	K	B	

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	
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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)
171. -- Cushing MLP Premier Fund	C	Dividend	L	T	Buy	02/14/13	K		
172.					Buy (add'l)	04/22/13	J		
173.					Buy (add'l)	07/22/13	J		
174.					Buy (add'l)	10/21/13	J		
175. -- Fidelity Advisor New Insights Fund C1 A	D	Dividend	L	T	Buy (add'l)	12/16/13	J		
176. -- Henderson Global Equity Income Fund C1 A	C	Dividend	L	T	Buy	02/14/13	L		
177.					Buy (add'l)	02/28/13	J		
178.					Buy (add'l)	03/28/13	J		
179.					Buy (add'l)	04/30/13	J		
180.					Buy (add'l)	05/31/13	J		
181.					Buy (add'l)	06/28/13	J		
182.					Buy (add'l)	07/31/13	J		
183.					Buy (add'l)	08/30/13	J		
184.					Buy (add'l)	09/30/13	J		
185.					Buy (add'l)	11/29/13	J		
186.					Buy (add'l)	12/31/13	J		
187. -- Hennessy Cornerstone Growth Fund Institutional Class		None	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 = \$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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	(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)
188. -- JP Morgan U.S. Large Cap Core Plus Fund A	B	Dividend	K	T	Buy (add'l)	12/13/13	J		
189. -- Neuberger Berman Equity Income Fund Class A	D	Dividend	L	T	Buy (add'l)	03/25/13	J		
190.					Buy (add'l)	06/24/13	J		
191.					Buy (add'l)	09/24/13	J		
192.					Buy (add'l)	12/17/13	J		
193. -- Neuberger Berman Intrinsic Value Fund Class A	B	Dividend	L	T	Buy	02/14/13	K		
194.					Buy (add'l)	12/17/13	J		
195. -- Oakmark Fund Class I	B	Dividend	L	T	Buy (add'l)	12/20/13	J		
196. -- Oppenheimer Developing Markets Fund Cl A	A	Dividend	K	T	Sold (part)	08/30/13	J	C	
197. -- Kinder Morgan Energy Partners MLP	B	Dividend	K	T					
198. -- Artio Global High Income Fund Class A	A	Dividend			Buy (add'l)	01/31/13	J		
199.					Buy (add'l)	02/28/13	J		
200.					Buy (add'l)	03/28/13	J		
201.					Buy (add'l)	04/30/13	J		
202.					Merged (with line 203)	05/01/13	K		See note, Part VIII
203. -- Aberdeen Global High Income Fund Class A	B	Dividend	K	T	Open	05/01/13	K		See note, Part VIII
204.					Buy (add'l)	05/31/13	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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	(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)
205.					Buy (add'l)	06/28/13	J		
206.					Buy (add'l)	07/31/13	J		
207.					Buy (add'l)	08/30/13	J		
208.					Buy (add'l)	09/30/13	J		
209.					Buy (add'l)	10/31/13	J		
210.					Buy (add'l)	11/27/13	J		
211.					Buy (add'l)	12/23/13	J		
212. -- DWS Municipal Income Trust	B	Dividend			Sold	06/28/13	K	C	
213. -- Nuveen Ins Muni Opport Fd	B	Dividend			Sold	06/28/13	K	C	
214. -- Nuveen Prem Income Mun Fund 2 Inc	B	Dividend			Sold	06/28/13	K	A	
215. -- Loomis Sayles Strategic Income Fund Class A	B	Dividend	K	T	Buy (add'l)	12/17/13	J		
216. -- Lord Abbett Floating Rate Fund A	B	Dividend	L	T	Buy	02/14/13	K		
217.					Buy (add'l)	04/01/13	J		
218.					Buy (add'l)	05/01/13	J		
219. -- Mainstay High Yield Opportunity Class A	B	Dividend	K	T	Buy (add'l)	08/01/13	J		
220. -- Pimco Total Return Fund Class A	B	Dividend	K	T	Buy	02/14/13	K		
221.					Buy (add'l)	12/12/13	J		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 ~More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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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)
222. -- Virtus Multi-Sector Short Term Bond Fund Class A	B	Dividend	K	T	Buy	02/14/13	K		
223. -- Gateway Fund Class A	A	Dividend	K	T					
224. -- Mainstay Marketfield Fund Class I	A	Dividend	L	T	Buy	02/12/13	K		
225. -- Neuberger Berman Long Short Fund Class A	A	Dividend	L	T	Buy	02/14/13	K		
226.					Buy	12/23/13	J		
227. -- First Eagle Gold Fund Class A		None			Sold	11/21/13	J		
228. -- First Eagle Global Fund Class A	C	Dividend	L	T	Buy (add'l)	12/18/13	J		
229. -- Vanguard Bd Index Fd Inc Short Term Bond	A	Dividend			Buy	02/14/13	L		
230.					Sold (part)	05/28/13	K		
231.					Sold	08/30/13	K		
232. -- DWS Floating Rate Fund Class A	B	Dividend	L	T	Buy	02/14/13	K		
233. -- Pimco All Assets All Auth-A	B	Dividend			Buy	02/14/13	L		
234.					Buy (add'l)	03/22/13	J		
235.					Buy (add'l)	06/21/13	J		
236.					Sold (part)	08/30/13	K		
237.					Sold	09/06/13	L		
238. -- Lord Abbett Short Duration Income Fund Class A	A	Dividend			Buy	02/14/13	K		

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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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239.					Sold	05/28/13	K		
240.					Sold	08/01/13	K		
241. JO/FAMILY #3 UBS ACCT (...77)	A	Int./Div.	K	T	Open	01/17/13	K		
242. -- UBS Bank USA Dep Acct	A	Interest	J	T	Open	01/18/13	K		
243. -- Amer Funds Capital World Growth & Income Fund CI A	A	Dividend	K	T	Buy	02/08/13	K		
244.					Buy (add'l)	06/17/13	J		
245. JO/FAMILY #4 UBS ACCT (...79)	A	Int./Div.	K	T	Open	01/17/13	K		
246. -- UBS Bank USA Dep Acct	A	Interest	J	T	Open	01/18/13	K		
247. -- Amer Funds Capital World Growth & Income Fund CI A	A	Dividend	K	T	Buy	02/08/13	K		
248.					Buy (add'l)	06/17/13	J		

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.)*

Part VII, generally: For all asset sales resulting in a loss or no net gain, I have left Column D(4) blank. Also, I no longer report "-- Cash" as a separate asset line within individual UBS accounts (as I did in some prior reports), as such information merely duplicates information provided in the line providing the overall value of the account itself. For similar reasons, and to simplify this report, I no longer report on separate lines the movement of money between UBS accounts in connection with transactions reported in the lines for specific assets.

Part VII, line 4: The valuation of my share of the [REDACTED] Family Real Estate Trust is based on an appraisal of the value of the property held in trust as of January 23, 2008 (the date I inherited my share). The appraisal was reported on November 12, 2008.

Part VII, lines 10-11: I neglected to include in my 2012 Annual Report the fact that there was a sub-advisor change on my NY 529 account from Columbia to JPMorgan, as a result, starting in May 2012, the asset previously listed as "Columbia Growth NY 529 Portfolio Class A" should have been listed as "JPMorgan 529 Moderate Growth Portfolio." Please deem my 2012 Annual report amended accordingly.

Part VII, line 17: The asset previously described as "Ishares Trust S&P Smallcap 600" now appears on my monthly brokerage account statements as "Ishares Trust Core S&P Smallcap." I have adopted the name change here to avoid future reporting problems.

Part VII, lines 58-62: The the account listed as JO UBS ACCT (...34) was closed after its assets were transferred to other UBS accounts in February and March. The proceeds of the sale of the RMA NY Money Fund on 2/4/13 (line 59) were transferred to another account (see line 141).

Part VII, lines 201-202: The Artio fund was acquired by Aberdeen in 2013, and the change first appeared on my brokerage statement in May 2013.

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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/ James Orenstein**

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
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