

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Feuerstein, Sandra J.	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 04/23/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. District Court 1014 Federal Plaza Central Islip, N.Y. 11722		
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.	Board Member	Adelphi University Breast Cancer Hotline
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.		
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. 2017	NYS Vested Pension Plan; Monthly Payments Vary	\$89,179.68
2. 2017	Judicial Retirees & Survivors; Monthly Payments	\$204,933.26
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.	
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.)*

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.		

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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. Charles Schwab (F, BD) (H)									
2. Cash	A	Interest	L	T					
3. iShares Tips (TIP)	A	Dividend	K	T	Buy	09/26/17	K		
4. iShares Tips (TIP)	A	Dividend	J	T	Buy (add'l)	10/24/17	J		
5. iShares Tips (TIP)	A	Dividend	K	T	Buy (add'l)	12/01/17	K		
6. Lord Abbott HY Fund (LAHYX)	A	Dividend	K	T	Buy	09/26/17	K		
7. Lord Abbott HY Fund (LAHYX)	A	Dividend	J	T	Buy (add'l)	10/24/17	J		
8. Lord Abbott HY Fund (LAHYX)	A	Dividend	K	T	Buy (add'l)	12/14/17	K		
9. Blackrock Strategy Income Opp'ty (BSIIX)	A	Dividend	L	T	Buy	09/26/17	L		
10. Blackrock Strategy Income Opp'ty (BSIIX)	A	Dividend	J	T	Buy (add'l)	10/24/17	J		
11. Blackrock Strategy Income Opp'ty (BSIIX)	A	Dividend	K	T	Buy (add'l)	12/01/17	K		
12. Blackrock Total Return Fund (MAHGX)	B	Dividend	M	T	Buy	09/26/17	M		
13. Blackrock Total Return Fund (MAHGX)	B	Dividend	K	T	Buy (add'l)	10/24/17	K		
14. Blackrock Total Return Fund (MAHGX)	B	Dividend	L	T	Buy (add'l)	12/01/17	L		
15. Fidelity Adv. Ltd. Term Bond Fund (EFIPX)	A	Dividend	M	T	Buy	09/26/17	M		
16. Fidelity Adv. Ltd. Term Bond Fund (EFIPX)	A	Dividend	K	T	Buy (add'l)	10/24/17	K		
17. Fidelity Adv. Ltd. Term Bond Fund (EFIPX)	A	Dividend	L	T	Buy (add'l)	12/01/17	L		

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	F = \$50,001 - \$100,000 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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 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. Western Asset Core Plus Bond Fund (WACPX)	B	Dividend	M	T	Buy	09/26/17	M		
19. Western Asset Core Plus Fund (WACPX)	B	Dividend	K	T	Buy (add'l)	10/24/17	K		
20. Congress Mid-Cap Growth Inst. (IMIDX)	A	Dividend	K	T	Buy	09/26/17	K		
21. Congress Mid-Cap Growth Inst. (IMIDX)	A	Dividend	J	T	Buy (add'l)	10/24/17	J		
22. Congress Mid-Cap Growth Inst. (IMIDX)	A	Dividend	K	T	Buy (add'l)	12/01/17	K		
23. T Rowe Price Blue Chip Growth Fund (TBCIX)	C	Dividend	L	T	Buy	09/26/17	L		
24. T Rowe Price Blue Chip Growth Fund (TBCIX)	C	Dividend	K	T	Buy (add'l)	10/24/17	K		
25. T Rowe Price Blue Chip Growth Fund (TBCIX)	C	Dividend	L	T	Buy (add'l)	12/14/17	L		
26. Vanguard Equity Income Fund (VEIRX)	B	Dividend	M	T	Buy	09/26/17	M		
27. Vanguard Equity Income Fund (VEIRX)	B	Dividend	K	T	Buy (add'l)	10/24/17	K		
28. Citibank (M) (checking, interest bearing)	E	Dividend	L	T					
29. Fidelity (F, BD) (H)									
30. Fidelity Newbury MM Fund (FZFX)	B	Dividend	N	T	Buy	12/29/17	N		
31. Elements Int'l Port (ELINX)	C	Dividend	M	T	Buy	05/09/17	M		
32. Wisdomtree US Quality Div Growth Fund (DGRW)	D	Dividend	M	T					
33. Stoneridge US Master (VRPIX)	D	Dividend	M	T					
34. iShares Russell 1000 Growth ETF (IWF)	B	Dividend	M	T					

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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. AQR Long-Short Equity Fund (QLEIX)	C	Dividend	L	T	Buy	08/09/17	L		
36. Doubletree Total Return Bond Fund (DBLTX)	D	Dividend	M	T					
37. Prudential S/T Corporate Bond (PIFZX)	B	Dividend	K	T					
38. Stone Ridge Re-Ins Risk Premium Fund (SRRIX)	A	Dividend	K	T					
39. Stone Ridge Re-Ins Risk Premium Fund (SRRIX)	A	Dividend	J	T	Buy (add'l)	09/22/17	J		
40. Pax World Global Green Fund-Inst'l (PGINX)	B	Dividend	K	T					
41. TCG BDC Inc. (common stock) (CGBD)		None	K	T	Buy	05/12/17	K		
42. Carlyle GMS Finance (restricted stock) (14399C103)	B	Dividend	K	Q	Buy	05/12/17	K		
43. Carlyle GMS Finance (restricted stock) (14399C103)	B	Dividend	J	Q	Buy (add'l)	06/02/17	J		
44. NYS Drom Auth St PERS (5.25%) (64990FCA0)	B	Interest	K	T					
45. NYS Local Gov't (5.00%) (649876J34)	B	Interest	L	T					
46. NYC Muni Water Fin. Auth (5.00%) (64972FJ98)	B	Interest	L	T					
47. Tri-Boro Brdg & Tunl Auth (5.00%) (89602NWS9)	B	Interest	K	T					
48. Tri-Boro Brdg & Tunl Auth (4.00%) (89602NZG2)	A	Interest	J	T	Buy	06/22/17	J		
49. NY Gen'l Obl (4.00%) (64966GS94)	A	Interest	K	T					
50. NYS T'way Auth St PERS (5.00%) (650028TC7)	B	Interest	K	T					
51. NYC TFA (5.00%) (64971QAQ6)	C	Interest	L	T					

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52. NYS Gen'l Obl (3.00%) (649791FY1)	A	Interest	K	T					
53. Suffolk Cnty NY Wtr Auth Wtrw (3.00%) (864784DJ9)	A	Interest	K	T					
54. Port Auth NY&NJ Consl. (5.00%) (73358WJM7)	B	Interest	K	T					
55. NYS Gen'l Obl. (4.00%) (649791AT7)	B	Interest	L	T					
56. NYS Envir'l FACS (4.00%) (64986AV32)	A	Interest	K	T					
57. NYS Envir'l FACS (5.00%) (64986A3E9)	B	Interest	K	T					
58. NYS Dorm Auth St PERS (5.00%) (64990EFB8)		None	K	T	Buy	10/04/17	K		
59. NYS Envir'l FACS (5.00%) (64986AYD7)	A	Interest	J	T					
60. Sales Tax Asset receivable Corp (5.00%) (794665FP9)	B	Interest	K	T					
61. Utility Debt Securitization Auth (5.00%) (91802RAG4)	A	Interest	K	T					
62. NYS Urban Dev Corp Rev (5.00%) (650035N38)	B	Interest	L	T					
63. NYC TFA (5.00%) (64971QXU2)	A	Interest	J	T					
64. Vanguard (B, M) (cash)	A	Interest	M	T					
65. Bank of America (M)	A	Interest			Closed	09/19/17	M		
66. Bethpage Federal Credit Union (M)	A	Interest			Closed	10/24/17	M		
67. Capital One (M)	A	Interest			Closed	09/14/17	M		
68. T.D. Ameritrade (B, M) (cash)	C	Interest			Closed	08/14/17	P1		

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69. C.P.S.H.		None			Distributed	12/29/17	M		
70.									
71.									
72.									
73.									
74.									
75.									
76.									
77.									

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

Further Explanation Regarding Section VII of Sandra J. Feuerstein's Amended FDR 2017:

1. I transferred most of the assets in the Vanguard account to the Fidelity brokerge account (previously established) and to the Charles Schwab brokerage account (newly established). A portion was retained in cash.
2. The accounts held at Bank of America, Bethpage Federal Credit Union, CapitalOne, and T.D. Ameritrade were closed and the assets held therein were transferred into the Fidelity brokerage account (previously established) and the Charles Schwab brokerage account (newly established).
3. The "C.P.S.H." asset is a holding partnership in which [REDACTED] held an interest. Upon [REDACTED] death [REDACTED] interest in the partnership was transferred into [REDACTED] probate estate for eventual distribution [REDACTED]. I have no interest in or responsibility [REDACTED] interest in C.P.S.H.

This asset is most accurately described as "Pending Distribution", but that is not an option in the drop-down menu for Column D(1). I have, therefore, chosen "Distribution". Also, to avoid generating an "error" in the Audit Report Software, in Column D(2) I have indicated that the "Distribution" occurred on December 29, 2017; however, the asset is still part of [REDACTED] probate estate and awaiting distribution.

4. The Appraisal Date for Carlyle GMS Finance (restricted stock) (14399C103) (Part VII, lines 42 & 43) is June 14, 2017.

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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/ **Sandra J. Feuerstein**

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