

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Feldman, Jonathan W.	2. Court or Organization Western District of New York	3. Date of Report 05/07/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 233 United States Courthouse 100 State Street Rochester, NY 14614		
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	Jewish Senior Life
2.	Adjunct Professor	Cornell Law School
3.	POA	POA #1
4.	Trustee	Trust #1
5.	Trustee	Trust #2
6.	Executor	Estate #1

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. 2018	Cornell Law School, Salary	\$11,000.00
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. 2018	Brighton Central School District, Salary/Consultant
2. 2018	State of NY (Defined Benefit Pension Plan)
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.	Josephine M. Infantino	Sculpture	\$1,000.00
2.	Thomas White	Buffalo Bills tickets	\$450.00
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. BANK OF AMERICA	A	Interest	K	T					
2. IRA #1 (H)									
3. FIRST EAGLE OVERSEAS CL 1 (SGOIX)		None			Sold	06/28/18	K	B	
4. OPPENHEIMER DEVELOPING MARKETS (ODMAX)		None			Sold	06/28/18	J	B	
5. POWERSHARES EM SOVEREIGN BOND (PCY)	A	Dividend			Sold (part)	06/28/18	J		
6.					Sold	08/20/18	J		
7. T. ROWE PRICE EMERGING MARKETS STOCK FD RETAIL (PRMSX)		None			Sold	06/28/18	K	C	
8. VANGUARD REIT ETF (VNQ)	A	Dividend	J	T					
9. VANGUARD TOTAL INTL BOND ETF (BNDX)	A	Dividend			Sold	06/28/18	K	A	
10. VANGUARD WELLESLEY INCOME FUND (VWINX)	C	Dividend	L	T	Buy	07/09/18	L		
11. IRA #2 (H)									
12. OPPENHEIMER DEVELOPING MARKETS FDCL (ODMAX)	A	Dividend	J	T					
13. VANGUARD REIT ETF (VNQ)	A	Dividend	J	T					
14. VANGUARD BALANCED INDEX FUND INV CL (VBINX)	A	Dividend	K	T					
15. VANGUARD WELLESLEY INCOME FUND CL INV (VWINX)	B	Dividend	K	T					
16. IRA #3 (H)									
17. VANGUARD FEDERAL MONEY MARKET FUND/SWEEP (CASH) (X) (Y)									

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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18. VANGUARD INTERMEDIATE TERM BOND INDEX ADMIRAL CL (VBILX) (X)	A	Dividend			Sold	08/01/18	J		
19. VANGUARD TOTAL BOND MARKET INDEX ADMIRAL CL (VBTLX) (X)	A	Dividend			Sold	08/01/18	K		
20. VANGUARD TOTAL INTL BOND INDEX ADMIRAL CL (VTABX) (X)	A	Dividend			Sold	08/01/18	K		
21. VANGUARD HIGH YIELD CORP INVESTOR CL (VWEHX)	A	Dividend	K	T	Buy	08/14/18	K		
22. VANGUARD WELLINGTON ADMIRAL CL (VWENX)	C	Dividend	K	T	Buy	09/21/18	K		
23. TRUST #1 (H) (non-exempt)									
24. PNC GOV'T MONEY MARKET (CASH) (Y)									
25. PNC GOVERNMENT MRTG FD (PTGIX) (Y)									
26. TEMPLETON GLOBAL BOND FUND AD (TGBAX) (Y)									
27. VANGUARD FUNDS INTER-TERM (VWIUX) (Y)									
28. TRUST #2 (H)									
29. ISHARES TIPS BOND ETF (TIP)	A	Dividend			Sold	01/09/18	J		
30. POWERSHARES TAXABLE MUNICIPAL BOND	A	Dividend			Sold	01/09/18	J	A	
31. DODGE & COX INCOME FUND (DODIX)	A	Dividend			Sold (part)	01/18/18	J	A	
32.					Sold	03/21/18	J		
33. METROPOLITAN WEST UNCONSTRAINED BOND	A	Dividend			Sold (part)	01/18/18	J		

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34.					Sold	03/21/18	J		
35. T ROWE PRICE HIGH YIELD (PRHYX)	A	Dividend			Sold (part)	01/18/18	J	A	
36.					Sold	03/21/18	J	A	
37. TEMPLETON GLOBAL BOND FUND AD (TGBAX)	A	Dividend			Sold (part)	01/18/18	J		
38.					Sold	03/21/18	J		
39. VANGUARD FUNDS INTER-TERM (VWIUX)	A	Dividend			Sold (part)	01/18/18	J		
40.					Sold	03/21/18	J		
41. VIRTUS SEIX FLOATING RATE HIGH INCOME	A	Dividend			Sold (part)	01/18/18	J	A	
42.					Sold	03/21/18	J	A	
43. ABBOTT LABORATORIES INC (ABT)		None			Sold	01/09/18	J	A	
44. ABBVIE INC (ABBV)		None			Sold	01/09/18	J	B	
45. AMGEN INC (AMGN)	A	Dividend			Sold	01/09/18	J	B	
46. AUTOMATIC DATA PROCESSING INC (ADP)	A	Dividend			Sold	01/09/18	J	B	
47. BRISTOL MYERS SQUIBB CO (BMY)	A	Dividend			Sold	01/09/18	J	B	
48. COCA COLA CO (KO)	A	Dividend			Sold	01/09/18	J	A	
49. DUKE ENERGY HOLDING CORP (DUK)	A	Dividend			Sold	01/09/18	J	A	
50. EXXON MOBIL CORP (XOM)	A	Dividend			Sold	01/09/18	J	A	

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51. HOME DEPOT INC (HD)	A	Dividend			Sold	01/09/18	J	B	
52. HONEYWELL INTL INC (HON)	A	Dividend			Sold	01/09/18	J	B	
53. INTERNATIONAL BUSINESS MACHS (IBM)	A	Dividend			Sold	01/09/18	J	A	
54. JPMORGAN CHASE & CO (JPM)		None			Sold	01/09/18	J	B	
55. KIMBERLY-CLARK CORP (KMB)	A	Dividend			Sold	01/09/18	J	A	
56. MICROSOFT CORP (MSFT)	A	Dividend			Sold	01/09/18	J	B	
57. PROCTER & GAMBLE CO (PG)		None			Sold	01/09/18	J	A	
58. QUALCOMM (QCOM)	A	Dividend			Sold	01/09/18	J	A	
59. SCHLUMBERGER LTD (SLB)	A	Dividend			Sold	01/09/18	J	A	
60. WELLS FARGO & COMPANY (WFC)	A	Dividend			Sold	01/09/18	J	B	
61. ISHARES MSCI EMERGING MARKETS (EEM)	A	Dividend			Sold	01/09/18	J	A	
62. ISHARES MSCI EAFE ETF (EFA)	A	Dividend			Sold	01/09/18	J	B	
63. ISHARES RUSSELL MID-CAP (IWR)	A	Dividend			Sold	01/09/18	J	B	
64. ISHARES RUSSELL 2000 (IWM)	A	Dividend			Sold	01/09/18	J	A	
65. VANGUARD CONSUMER DISCRETIONARY (VCR)	A	Dividend			Sold	01/09/18	J	B	
66. MAINSTAY EPOCH GLOBAL EQUITY (EPSYX)	A	Dividend			Sold (part)	01/18/18	J	A	
67.					Sold	03/21/18	J		

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68. TRUST #3 (formerly #4) (H)									
69. FIDELITY GOVERNMENT MONEY MARKET ACCOUNT (CASH) (X) (Y)									
70. ISHARES CORE S&P TOTAL US STOCK MARKET ETF	A	Dividend			Sold	01/18/18	J	A	
71. FIDELITY FOUR IN ONE INDEX (FFNOX)	A	Dividend	J	T	Buy	01/17/18	J		
72.					Buy (add'l)	01/29/18	J		
73. TRUST #4 (formerly #5) (H)									
74. ISHARES CORE S&P TOTAL US STOCK MARKET ETF (Y)									
75. BROKERAGE ACCOUNT #1 (H)									
76. MERRILL EDGE MONEY MARKET (CASH ACCOUNT)	A	Interest	L	T					
77. BIF MONEY FUND	A	Int./Div.			Buy	04/09/18	K		
78.					Sold (part)	09/04/18	K		
79.					Buy (add'l)	09/07/18	K		
80.					Sold	11/15/18	L		
81. ABBVIE INC SHS (ABBV) (X) (Y)									
82. ALPHABET INC SH CL C (GOOG)		None	K	T					
83. ALPHABET INC SH CL A (GOOGL)		None	K	T					
84. BRISTOL-MYERS SQUIBB CO (BMY) (X) (Y)									

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85. DOWDUPONT INC COM (DWDP) (X) (Y)									
86. EXXON MOBIL CORP (XOM) (X) (Y)									
87. FACEBOOK INC (FB)		None			Buy	01/17/18	J		
88.					Buy (add'l)	07/30/18	J		
89.					Sold	11/28/18	J	A	
90. HOME DEPOT INC (HD) (X)	A	Dividend	J	T					
91. HONEYWELL INTL INC DEL (HON) (X) (Y)									
92. IEC ELECTRS. CORP. NEW (IEC)		None	K	T	Sold (part)	02/09/18	J	C	
93. INTL BUSINESS MACHINES (IBM) (X) (Y)									
94. JPMORGAN CHASE & CO (JPM) (X) (Y)									
95. KIMBERLY CLARK (KMB) (X) (Y)									
96. MICROSOFT CORP (MSFT) (X)	A	Dividend	J	T					
97. PAYPAL (PYPL)		None	K	T					
98. PROCTER & GAMBLE CO (PG) (X) (Y)									
99. QUALCOMM INC (QCOM) (X) (Y)									
100. ROKU INC (ROKU)		None	J	T	Buy	11/26/18	J		
101. WELLS FARGO & CO NEW DEL (WFC) (X) (Y)									

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102. AMERICAN CENTURY EQUITY INCOME FUND INV CL (TWEIX)	B	Dividend	K	T					
103. HARBOR INTERNATIONAL MUTUAL FUND (HAINX)		None			Sold	09/06/18	K	D	
104. INVESCO (FORMERLY POWERSHARES) QQQ TRUST SE (QQQ)	A	Dividend	K	T					
105. ISHARES RUSSELL MIDCAP (IWR) (X)	A	Dividend	J	T					
106. ISHARES MSCI EAFE (EFA) (X) (Y)									
107. ISHARES MSCI EMERGING MKTS (EEM) (X)		None			Sold	05/04/18	J	A	
108. ISHARES TIPS BOND ETF (TIP) (X)	A	Dividend	J	T					
109. ISHARES TR RUSSELL 2000 (IWM) (X) (Y)									
110. T ROWE PRICE EMERGING MARKETS STOCK FUND	A	Dividend	J	T					
111. VANGUARD TOTAL STOCK MKT ETF (VTI)	B	Dividend	L	T					
112. VANGUARD DIVIDEND APPRECIATION ETF (VIG)	A	Dividend	J	T					
113. VANGUARD HIGH DVD YIELD ETF (VYM)	A	Dividend	K	T					
114. VANGUARD FTSE DEVELOPED MARKET ETF (VEA)	B	Dividend	L	T	Buy (add'l)	09/11/18	K		
115. VANGUARD HEALTH CARE FUND INV CL (VGHGX)	A	Dividend	J	T					
116. VANGUARD NY LONG TERM TAX EXEMPT (VNYTX)	D	Dividend	N	T	Buy (add'l)	01/09/18	L		
117. VANGUARD WELLESLEY (VWINX)	A	Dividend	J	T					
118. ABBOTT LABS (002824100) (X)		None			Sold	01/03/18	J	A	

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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Name of Person Reporting

Feldman, Jonathan W.

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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)
119. POWERSHARES TAXABLE MUNICIPAL BOND PORTFOLIO (739378407) (X)		None			Sold	01/03/18	J	A	
120. SCHLUMBERGER LTD (806857108) (X)		None			Sold	01/03/18	J	A	
121. AMGEN INC COM (031162100) (X)		None			Sold	01/03/18	J	B	
122. AUTOMATIC DATA PROC (053015103) (X)		None			Sold	01/03/18	J	B	
123. COCA COLA COM (191216100) (X)		None			Sold	01/03/18	J	A	
124. VANGUARD CONSUMER DISCRETIONARY ETF (92204A108) (X)		None			Sold	01/03/18	J	B	
125. BROKERAGE ACCOUNT #2 (H)									
126. VANGUARD FEDERAL MONEY MARKET FUND/SWEEP (CASH) (X)	A	Interest	M	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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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

All reportable assets from Trust #1, Trust #2, and Estate #1 are listed in Part VII.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name of Person Reporting

Feldman, Jonathan W.

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05/07/2019

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/ Jonathan W. Feldman**

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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