

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) Gold, Steven M.	2. Court or Organization U.S. District Court EDNY	3. Date of Report 05/04/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	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 U.S. District Court 225 Cadman Plaza East Chambers 1217S Brooklyn, New York 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.	P/time Adjunct Prof. of Law	Brooklyn Law School
2.	Board Member	██████████, Treasurer ██████████
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. 2018	Salary/Adj Prof of Law/Brooklyn Law School	\$27,225.00
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	Salary/Executive Director, [REDACTED]
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.			
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. CHASE CHECKING	A	Interest	J	T					
2. CHASE PLUS SAVING	A	Interest	J	T					
3. CHASE DYNAMIC YIELD STRAT.									
4. -SIT Dividend Growth	A	Int./Div.	J	T	Sold (part)	09/26/18	J	A	
5.					Buy (add'l)	10/02/18	J		
6.					Sold (part)	12/14/18	J	A	
7.					Sold (part)	12/17/18	J	B	
8. -Cohen & Steers Pref's Sec & Inc	A	Int./Div.	J	T	Sold (part)	09/26/18	J	A	
9. Matthews Asia Divided	A	Int./Div.	J	T					
10. Blackrock High Yield Bond	A	Int./Div.	J	T					
11.					Buy	10/02/18	J		
12. -Doubleline Total Return	A	Int./Div.	K	T	Buy (add'l)	03/02/18	J		
13.					Sold (part)	09/26/18	J	A	
14.					Buy (add'l)	10/02/18	J		
15.					Buy (add'l)	12/20/18	J		
16. TRP Inst Floating Rate	A	Int./Div.	J	T					
17. -Metropolitan West Funds	A	Int./Div.	K	T	Sold (part)	03/02/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	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)
18.					Buy (add'l)	10/02/18	J		
19. Lord Abbett Invt Tr	A	Int./Div.	K	T	Sold (part)	01/23/18	J	A	
20.					Sold (part)	09/26/18	J	A	
21.					Buy (add'l)	10/02/18	J		
22. Credit Suisse Floatig Rate High Inc	A	Int./Div.	J	T	Sold (part)	09/26/18	J	A	
23.					Buy	10/02/18	J		
24.					Sold (part)	11/28/18	J	A	
25. Federated Inst Hi Yld Bond	A	Int./Div.	J	T	Sold (part)	11/28/18	J	A	
26. Pimco High Yield FD-P	A	Int./Div.	J	T	Sold (part)	03/05/18	J	A	
27.					Sold (part)	03/06/18	J	A	
28.					Sold (part)	03/07/18	J	A	
29.					Sold (part)	03/08/18	J	A	
30. Nuveen Invt Tr V Pfd Secs C1 R	A	Int./Div.	J	T	Buy (add'l)	03/02/18	J		
31.					Sold (part)	09/26/18	J	A	
32.					Sold (part)	11/28/18	J	A	
33. American Beacon GLG TR	A	Int./Div.	J	T	Sold (part)	04/26/18	J	A	
34. Vanguard Intl Equity FTSE Europe ETF	A	Int./Div.			Sold	08/14/18	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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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)

35. John Hancock II Str Inc 1	A	Interest	J	T	Sold (part)	11/09/18	J	A	
36. Pimco Mortgage Opportunities	A	Int./Div.	J	T	Buy (add'l)	04/04/18	J		
37.					Buy (add'l)	11/08/18	J		
38. Muzinch Low Durat- Supr Inst	A	Int./Div.	J	T	Sold (part)	09/26/18	J	A	
39.					Buy (add'l)	10/02/18	J		
40. Metropolitan West t/r	A	Int./Div.	K	T	Sold (part)	09/26/18	J	A	
41. Voya Floating Rate	A	Int./Div.	J	T					
42. MFS Ser Tr III Muni	A	Int./Div.	J	T	Buy (add'l)	01/10/18	J		
43. John Hancock LRF CAP Core	A	Int./Div.			Buy	01/05/18	J		
44.					Sold (part)	11/07/18	J	A	
45.					Sold	11/15/18	J	A	
46. Lazard Emerging Market	A	Int./Div.			Buy	01/23/18	J		
47.					Sold	06/19/18	J	A	
48. MFS Municipal High	A	Int./Div.	J	T	Buy	01/30/18	J		
49.					Buy (add'l)	09/18/18	J		
50.					Buy (add'l)	09/21/18	J		
51. Pimco Short Term FD Instl	A	Int./Div.	J	T	Buy	03/02/18	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	
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52.					Buy (add'l)	03/05/18	J		
53.					Buy (add'l)	03/06/18	J		
54.					Buy (add'l)	03/07/18	J		
55.					Buy (add'l)	03/08/18	J		
56.					Buy (add'l)	04/26/18	J		
57.					Buy (add'l)	06/19/18	J		
58.					Sold (part)	09/26/18	J	A	
59.					Buy (add'l)	10/02/18	J		
60. IShares Curr Hedged	A	Int./Div.			Buy	08/16/18	J		
61.					Sold	12/28/18	J	A	
62. Vanguard Div Appr	A	Int./Div.	J	T	Buy	10/31/18	J		
63.					Buy (add'l)	11/07/18	J		
64.					Buy (add'l)	11/15/18	J		
65.					Buy (add'l)	12/28/18	J		
66. Pimco Dynamic Bond	A	Int./Div.	J	T	Buy	11/07/18	J		
67. SPDR S&P Dividend	A	Int./Div.	J	T	Buy	12/14/18	J		
68.					Buy (add'l)	12/20/18	J		

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69.					Buy (add'l)	12/28/18	J		
70. VANGUARD HEALTHCARE FUND IRA	A	Dividend	L	T					
71. T ROWE PRICE RTMNT. PLAN									
72. - T Rowe Price Personal Strategy Fund 403(b)	D	Dividend	M	T					
73. - T Rowe Price Health Sciences Fund 403(b)	D	Dividend	M	T					
74. - T Rowe Price Prime Reserve Fund 403(b)	A	Dividend	K	T					
75. REFORM PENSION BOARD 403(b)									
76. -Ref. Pens Bd. Appren & Inc. Fund 403(b)	A	Int./Div.	N	T	Buy (add'l)	01/19/18	J		
77.					Buy (add'l)	04/03/18	J		
78.					Buy (add'l)	07/16/18	J		
79.					Sold (part)	03/26/18	K		
80.					Buy (add'l)	10/16/18	J		
81. -Reform Jewish Values Fund	A	Int./Div.	K	T	Buy	03/26/18	K		
82.					Buy (add'l)	04/03/18	J		
83.					Buy (add'l)	07/16/18	J		
84.					Buy (add'l)	10/16/18	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1) Part VII, Lines 3, 71, and 75 are headers.

2) Part VII, Line 22 reports a partial sale of Credit Suisse Floating Rate High Inc. I reported a total sale of this investment on my 2017 Financial Disclosure Report at Part VII, Line 36. That entry was apparently made in error, and should have been a partial sale.

3) On my 2017 Financial Disclosure Report at Part VII, Line 33, I reported a partial sale of Pimco Unconstrained Bond. I no longer held that investment at the end of 2018. I either sold the balance in increments of less than \$1000 or should have reported the 2017 sale as complete rather than partial.

4) On my 2017 Financial Disclosure Report at Part VII, Line 34, I reported holding John Hancock L/C Equity. I no longer held that investment at the end of 2018. I either sold my holding in increments of less than \$1000 or should have reported a previous sale as complete rather than partial.

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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/ **Steven M. Gold**

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