

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) Orenstein, James	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 07/08/2019
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 01/01/2018 to 12/31/2018
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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	New York University School of Law	\$27,765.00
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	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. United States Judiciary -- Federal Judicial Center	July 29-August 1, 2018	Denver, CO	Magistrate Judge workshop	Travel, lodging, food
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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.	Robert Jones	Tickets to Carnegie Hall concert & dinner	\$5,000.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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	K	T					
3. Verizon	A	Dividend	K	T					
4. [REDACTED] Real Estate Trust (as appraised on 11/12/2008)		None	K	Q					
5. JO UBS ACCT (...12)	A	Dividend	J	T					
6. --UBS Bank USA Deposit Acct.		None	J	T					
7. -- Vanguard High Divid Yield ETF	A	Dividend	J	T					
8. JO UBS ACCT (...83)		None	N	T					
9. -- JPMorgan 529 Moderate Growth Portfolio Fund Class A		None	N	T					
10. JO UBS ROTH (...47)	E	Int./Div.	O	T					
11. --UBS Bank USA Deposit Account	A	Interest	J	T					
12. -- Alphabet Class A		None	K	T					
13. -- Alphabet Class C		None	K	T					
14. -- Goldman Sachs ActiveBeta US Large Cap Fund	B	Dividend	L	T	Sold (part)	04/30/18	J		
15.		Dividend			Sold (part)	08/06/18	J	A	
16. --Ishares Trust Core S&P Smallcap	B	Dividend	L	T					
17. -- Ishares Select Divid ETF	A	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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☐ NONE (No reportable income, assets, or transactions.)

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	(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. --SPDR S&P Midcap 400	A	Dividend	K	T					
19. -- Fidelity Advisor Real Estate Income Fund Class I	A	Dividend			Sold	04/18/18	K		
20. --Fidelity Advisor New Insights Fund	D	Dividend	L	T					
21. -- Cohen & Steers Ltd Duration Pfd & Income Fund Inc	B	Dividend	K	T					
22. -- Nuveen Preferred Securities Income Fund	A	Dividend	K	T					
23. -- Pioneer High Income Trust	B	Dividend	K	T					
24. -- Western Asset High Income Fund II	B	Dividend	K	T	Buy (add'l)	04/19/18	J		
25. --AB (Alliance Bernstein) High Income Fund	C	Dividend	L	T	Sold (part)	10/31/18	J		
26. --Putnam Diversified Income Trust	B	Dividend	K	T					
27. -- Templeton Global Total Return Class A	B	Dividend	K	T					
28. -- Invesco Balanced-Risk Allocation Fund A		None	K	T					
29. -- Nuveen Real Asset Income Fund Class A	B	Dividend	K	T	Buy (add'l)	04/19/18	K		
30. FAMILY #2 UBS ROTH (...48)	D	Int./Div.	M	T					
31. -- UBS Bank USA Dep Acct	A	Interest	J	T					
32. -- American Funds Capital World Growth & Income Fund Cl A	B	Dividend	K	T					
33. -- American Funds New World Fund Cl A	A	Dividend	J	T					
34. -- American Funds Smallcap World Fund Cl A	B	Dividend	K	T	Buy (add'l)	08/29/18	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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35. -- American Funds Euro Pacific Growth Fund CI A	A	Dividend	J	T					
36. -- American Funds Growth Fund of America CI A	C	Dividend	K	T					
37. -- American Funds New Perspective Fund CI A	A	Dividend	J	T					
38. -- American Funds Washington Mutual Investors Fund CI A	B	Dividend	K	T					
39. -- Kern County CA Municipal Bond		None			Redeemed	08/15/18	J	C	
40. -- American Funds American Balanced Fund CI A	A	Dividend	J	T					
41. -- American Funds Income Fund of America	A	Dividend	J	T					
42. JO UBS ACCT (...29)		None	N	T					
43. -- CollegeAmerica 529 Bond Fund of America		None	K	T					
44. -- CollegeAmerica 529 Capital World Growth & Income Fund		None	L	T					
45. -- CollegeAmerica 529 Euro Pac Growth Fund		None	K	T					
46. -- CollegeAmerica 529 Growth Fund of America		None	L	T					
47. -- CollegeAmerica 529 Income Fund of America		None	L	T					
48. -- CollegeAmerica 529 New Perspective Fund		None	K	T					
49. -- CollegeAmerica 529 Smallcap World Fund		None	K	T					
50. -- CollegeAmerica 529 Washington Mutual Investors Fund		None	L	T					
51. JOINT UBS ACCT (...48)	A	Interest	O	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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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52. -- UBS Bank USA Dep Acct	A	Interest	J	T					
53. -- Sallie Mae Ednotes Callable	A	Interest	J	T					
54. -- Wentzville Mo Sch Municipal Bond		None	K	T					
55. -- Yorba Linda CA Municipal Bond		None	J	T	Redeemed (part)	09/04/18	J		
56. -- Chicago IL Bd of Ed Municipal Bond		None	K	T					
57. -- Chicago IL Lakefront Municipal Bond		None	K	T					
58. -- NJ Trans Trust Municipal Bonds		None	M	T					
59. -- Escondido CA UHSD Municipal Bond		None	K	T					
60. -- Massachusetts Bay Trans Municipal Bond		None	K	T	Buy	08/23/18	K		
61. -- Washington Clackamas Municipal Bond		None	K	T	Buy	08/23/18	K		
62. -- DC Washington Mandarin Hotel Municipal Bond		None			Sold (part)	03/01/18	K	A	
63.					Sold	04/06/18	K	A	
64. -- New York City SR A Municipal Bond		None			Sold	05/09/18	J	A	
65. -- Athens-Clarke County GA Municipal Bond		None			Sold	03/29/18	K		
66. -- San Joaquin Delta Comnty Ser B Municipal Bond		None			Redeemed	08/01/18	L	C	
67. -- John Hancock New York Venture Annuity (see components lines 68-77)		None	N	T					
68. ---- JH Fundamental Large Cap fund		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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69. ---- JH Mid Cap Index fund		None	L	T					
70. ---- JH 500 Index Fund		None	K	T					
71. ---- Western Asset High Yield Fund		None	K	T					
72. ---- Wellington Management Mid Cap Stock Fund		None	K	T					
73. ---- Wellington Management Small Cap Value fund		None	K	T					
74. ---- Wells Capital Core Bond fund		None	K	T					
75. ---- Templeton-Global fund		None	K	T					
76. ---- Templeton-Int'l Value fund		None	J	T					
77. -- Lincoln Life Moneyguard Reserve		None	L	T					
78. JOINT UBS ACCT (...49)	F	Int./Div.	O	T					
79. -- UBS Bank USA Dep Acct	A	Interest	J	T					
80. -- AT&T Inc	B	Dividend	K	T					
81. -- Salesforce.com Inc		None	K	T	Sold (part)	08/29/18	J	D	
82.					Donated (part)				
83.					Donated (part)				
84.					Donated (part)				
85.					Donated (part)				

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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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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86.					Donated (part)				
87. -- iShares S&P 500 Value ETF	B	Dividend	K	T					
88. -- iShares S&P 500 Growth ETF	A	Dividend	L	T					
89. -- Fidelity Advisor New Insights Fund Cl A	D	Dividend	L	T	Sold (part)	08/28/18	J	B	
90.					Sold (part)	11/01/18	J	A	
91. -- Hennessy Cornerstone Growth Fund Institutional Class	D	Dividend	L	T					
92. -- Janus Henderson Global Equity Income Fund Class I	C	Dividend	K	T	Buy	12/24/18	K		
93.					Sold	11/05/18	L		
94. -- JP Morgan U.S. Large Cap Core Plus Fund A	D	Dividend	K	T					
95. -- Neuberger Berman Equity Income Fund Class I	C	Dividend	L	T	Sold (part)	04/05/18	K		
96. -- Neuberger Berman Intrinsic Value Fund Class A	D	Dividend	L	T					
97. -- Oakmark Fund Class I	D	Dividend	L	T					
98. -- Salient MLP Energy Infrastructure II Class I	A	Dividend			Sold	04/05/18	K	C	
99. -- Virtus Emerging Markets Opportunities Fund Class I	B	Dividend	K	T	Sold (part)	07/05/18	J	B	
100. -- Loomis Sayles Strategic Income Fund Class A	B	Dividend	L	T					
101. -- Lord Abbett Floating Rate Fund	B	Dividend	K	T	Sold (part)	05/03/18	J		
102.					Sold (part)	10/02/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

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103. -- Nuveen High Yield Municipal Bond Fund I	B	Dividend	K	T					
104. -- Gateway Fund Class Y	A	Dividend	L	T					
105. -- First Eagle Global Fund Class A	C	Dividend	L	T	Sold (part)	04/18/18	K	C	
106.					Sold (part)	05/30/18	J	B	
107. -- DWS European Equity Fund-S		None			Buy	11/05/18	K		
108.					Sold	12/21/18	K		
109. JO/FAMILY #3 UBS ACCT (...77)	C	Dividend	K	T					
110. -- UBS Bank USA Dep Acct		None	J	T					
111. -- Amer Funds Capital World Growth & Income Fund C1 A	C	Dividend	K	T					
112. JO/FAMILY #4 UBS ACCT (...79)	C	Dividend	K	T					
113. -- UBS Bank USA Dep Acct		None	J	T					
114. -- Amer Funds Capital World Growth & Income Fund C1 A	C	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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. I have reported all dividend income, including dividends that were reinvested; however, pursuant to the Committee's instructions, I no longer separately report reinvestment transactions.

Part VII, line 4: The valuation of my share of the [REDACTED] 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.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Orenstein, James

Date of Report

07/08/2019

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/ 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
Administrative Office of the United States Courts
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Washington, D.C. 20544