

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) Mann, Roanne L.	2. Court or Organization United States District Court - Eastern District of New York	3. Date of Report 05/05/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States 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 United States District Court - E.D.N.Y. 225 Cadman Plaza East Room 1220 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. Custodian/Trustee	Two nonreportable bank accounts opened for [REDACTED] [REDACTED]
2. Trustee	Life insurance trust (unfunded)
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
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.)*

DATE	SOURCE AND TYPE
1. 2018	Partner ()
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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	3/8/18 Judges Reception	\$175.00
2.	Federal Bar Council	5/2/18 Law Day Dinner	\$475.00
3.	Federal Bar Council	10/25/18 Law Clerk Reception	\$100.00
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. FMA ACCOUNT #1: (H)									
2. -Morgan Stanley Money Mkt.	A	Interest	M	T					
3. -Clearbridge All Cap Value A	D	Dividend	K	T					
4. IRA ACCOUNT #1: (H)									
5. -Morgan Stanley Money Mkt. Funds	B	Interest	N	T					
6. -Clearbridge All Cap Value A	C	Dividend	K	T					
7. -Clearbridge Dividend Strat A	C	Dividend	K	T					
8. -Clearbridge Agg. Growth A	D	Dividend	K	T					
9. FMA ACCOUNT #2: (H)									
10. -Morgan Stanley Bk. Dep. Program	C	Interest	O	T					
11. -US Treasury bills	D	Interest	P1	T	Redeemed (part)	03/15/18	P1		
12.					Buy (add'l)	03/15/18	P1		
13.					Buy (add'l)	06/29/18	P1		
14.					Redeemed (part)	07/02/18	P1		
15.					Redeemed (part)	10/04/18	P1		
16.					Buy (add'l)	10/04/18	P1		
17.					Redeemed (part)	11/15/18	P1		

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 = \$250,000,001 - \$500,000,000	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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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.					Redeemed (part)	11/15/18	P1		
19. -NYS HSG FIN A GY		None	M	T	Buy	12/06/18	M		
20. █ PARTNERS INV. SERIES B	E	Distribution	L	T					
21. IRA ACCOUNT #2: (H)									
22. -Money Mkt. Funds Morgan Stanley	A	Interest	L	T					See explanation Part VIII
23. -Avis Budget Grp. common stock		None	J	T					
24. -Duke Energy Corp. Holding Co. common stock	A	Dividend	J	T					
25. -Enbridge Inc. common stock	A	Dividend	J	T					
26. -Wyndham Destinations common stock	A	Dividend	J	T					See explanation Part VIII
27. -Windham Hotels common stock	A	Dividend	J	T					See explanation Part VIII
28. FIDELITY TOPS ACCOUNT (retirement): (H)									
29. -Vanguard Target 2025		None	P1	T	Buy	03/06/18	K		
30.					Buy	08/17/18	K		
31. TD Bank Account #1 (Y)									
32. TD Bank Account #2 (Y)									
33. JPMorgan Chase Bank Account (Y)									
34. IRA ACCOUNT #3: (H)									

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	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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35. -Money Mkt Funds Morgan Stanley	A	Interest	K	T					
36. -Clearbridge Agg. Growth I	D	Dividend	L	T					
37. -Davis NY Venture Y	E	Dividend	L	T					
38. -GoldmanSachs LG CAP	C	Dividend	L	T	Sold (part)	05/08/18	K	C	
39.					Buy (add'l)	07/17/18	L		
40. -AQR LG CAP	A	Dividend	L	T					
41. -Hartford Intl Value		None			Sold	07/17/18	L		
42. -TRowe Price Blue Chip	B	Distribution	L	T	Buy	05/08/18	K		
43.					Buy (add'l)	07/18/18	K		
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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52.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									

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

Part V, line 3 - \$100 is estimated value of attendance at cocktail reception for judges and law clerks, for which no one was charged

Part VII, line 22 - cash funds substantially less than \$15,000 were transferred from this IRA to FMA Account #1 as a mandatory distribution from a retirement account

Part VII, lines 26 & 27 - as a result of a stock split, investment in Wyndham Worldwide became investments in Wyndham Destinations and in Wyndham Hotels

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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/ **Roanne L. Mann**

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