

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) Peebles, David E.	2. Court or Organization U.S. District Court - NYND	3. Date of Report 04/26/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (F/T)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/1/2018 to 12/31/2018
7. Chambers or Office Address U.S. District Court P.O. Box 7345 Syracuse, New York 13261-7345		
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. Founding Member	Albany Intellectual Property and Innovations American Inns of Court
2. Power of Attorney	██████████ (Mother)
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	Upstate Department of Medicine, Syracuse, New York - Salary
2. 2018	Research Foundation of SUNY, Albany, New York - Salary
3. 2018	Self-Employed Expert Consultant (Physician)
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.	Albany Intellectual Property and Innovations Americans Inns of Court	Honorary Membership (dues, like privileges)	\$400.00
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.	The Student Loan Corp. (Navient)	Student Loans	K
2.	Chase Bank	Credit Card	K
3.	Barclay's Bank	Credit Card	J
4.	Capital One	Credit Card	J
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. Vanguard Prime Money Mkt. Fund (VMMXX)	A	Interest	J	T					
2. Vanguard Target Retirement 2020 (VTWXX)	A	Dividend	K	T					
3. Vanguard Growth Index Fund (VIGAX)	A	Dividend	K	T					
4. Vanguard 500 Index Fund (VFIAX)	C	Dividend	L	T					
5. Vanguard SOP Index Fund (VFIAX)	C	Dividend			Sold (part)	10/02/18	L		
6. Vanguard Value Index Fund (VVIAX)	A	Dividend	K	T					
7. CISCO Systems, Inc. (CSCO)	A	Dividend	J	T					
8. Intel Corp. (INTC)	A	Dividend	K	T					
9. Nokia Corp. (NOK)	A	Dividend	J	T					
10. Transwitch Corp. (TXCCQ)	A	Dividend	J	T					
11. Walgreen Boots Alliance Inc. (WBA) f/k/a Walgreen Co.	B	Dividend	L	T					
12. Bank of America Accounts	A	Interest	L	T					
13. Summit FCU Accounts	A	Interest	J	T					
14. Solvay Bank Accounts	A	Interest	M	T					
15. Marshe, LLC	A	Dividend	N	U					
16. Upstate Med. Univ. Dept. of Med. Profit Sharing	F	Dividend	P1	T					
17. Research Founda. of SUNY Retirem. Plan	E	Dividend	N	T					

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 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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. Fidelity Select Portfolios Biotechnology Fund (FBIOX)	A	Dividend	K	T					
19. Marsico Inv. Fund - Focus Fund (MFOCX)	A	Dividend	J	T					
20. Vanguard Total Stock Mkt. Index Inv. (IRA)	A	Dividend	K	T					
21. Research Foundation of SUNY optional Ret. Savings Acct. (No Control)	E	Dividend	N	T					
22. NY 529 College Savings Program (Age Based) Aggressive Growth Portfolio	A	Dividend	J	T					
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24. Verizon Communications (VZ)	A	Dividend	J	T					
25. The Financial Sel Sect. SPDR FD (XLF)	A	Dividend	J	T					
26. Public Storage 6%-Z (PSA.Z)	A	Dividend	J	T					
27. Pioneer Fundamental Growth (FUNYX)	A	Interest			Sold	07/09/18	K		
28. Nextera Energy Inc. (NEE)	A	Dividend	J	T					
29. Merck & Co. New Com. (MRK)	A	Dividend	J	T					
30. iShares US Aerospace & DEF EFT (ITA)	A	Dividend	J	T					
31. Home Depot Inc. (HD)	A	Dividend	J	T					
32. Crown Castle Int'l Corp. (CCI)	A	Dividend	J	T					
33. CISCO Sys. Inc. (CSCO)	A	Dividend	J	T					
34. Anheuser Busch Inbev SA Spon (BUD)	A	Dividend	J	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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35. Amgen Inc. (AMGN)	A	Dividend	J	T					
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ **David E. Peebles**

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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