

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) Stein, Sidney H.	2. Court or Organization U.S. District Court	3. Date of Report 8/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	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 500 Pearl Street New York, New York 10007-1312		
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. Member - Board of Directors	Greater New York Councils, Boy Scouts of America
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.	

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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.	
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. NYU School of Law	02/23/18-02/25/18	Manhasset, NY	Educational Seminar	meals & lodging
2. New York State Bar Association	04/20/18-04/27/18	Seoul, Korea	Bar Association Meeting	Transportation, meals, lodging
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. MONEY MARKETS									
2. JPMORGAN U.S. GOVT.	A	Interest			Sold	04/02/18	J		
3. Dreyfus Tax Free NY	B	Interest	L	T					
4. JP Morgan Bank Sweep	B	Interest	L	T	Buy	04/13/18	L		
5.									
6. COMMON STOCKS									
7. BERKSHIRE HATHAWAY CORP.		None	P1	T					
8. 5180 GRANT AVE CORP		None	N	W	Sold (part)	08/08/18	P2	H1	
9.									
10. TAX EXEMPT BONDS									
11. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
12. NEW YORK ST MTG AGY REV HOMETOWN MTG -29-a-RMKT	C	Interest	M	T					
13. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
14. NY State Power Auth Rev & Gen Purp Ser Detm	A	Interest	K	T					
15. NYS STATE POWER AUTH SER G	A	Interest	K	T					
16. NEW YORK ST HSG FIN AGY GEN SER A	D	Interest	M	T					
17. NEW YORK STATE POWER AUTH.	C	Interest	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		

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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				
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18. NYS REF - SER C	C	Interest	M	T					
19. NYS LOC GOVT ASSISTANCE CORP	D	Interest	M	T					
20. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
21. NYS THWY SECOND GEN HIGHWAY SER A	C	Interest	M	T					
22. NYS ENVIRON. FACS CORP	C	Interest	M	T					
23. NYC TR CULTURAL RES REV	B	Interest			Sold	06/04/18	L	A	
24. NYC SER D	C	Interest	M	T					
25. SOUTHEASTERN PA TRANS AUTH REV	C	Interest			Sold	08/16/18	M	C	
26. NYC, NY DTD 10/23/2012 SER B	B	Interest	M	T					
27. NASSAU CTY SALES TAX - SER A	C	Interest	M	T					
28. LOUISVILLE & JEFF CTY, KY SER A	C	Interest			Sold	02/27/18	M	D	
29. UNIV. CALIFORNIA SER G	C	Interest			Sold (part)	02/27/18	L	A	
30.					Sold	03/22/18	L	A	
31. PALM BEACH CTY FL SOL WST AUTH	B	Interest			Sold	05/11/18	M	A	
32. PA ST TNPKE COMM SER C	B	Interest			Sold	04/10/18	L		
33. NYS THWY AUTH REF	C	Interest	M	T					
34. NYC NY HSG	D	Interest	M	T	Sold (part)	10/02/18	K		

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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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35. NYC NY TRA	C	Interest	M	T					
36. LOUISIANA STATE	C	Interest			Sold	02/23/18	M		
37. MONROE CTY NY INDL.	D	Interest	M	T					
38. NJ ST. ECON D.	C	Interest	M	T					
39. MET TRANSPORTATION AUTH NY	B	Interest	M	T					
40. NYS DORM AUTH	C	Interest	L	T					
41. MIAMI DADE CTY FL SCH. BD.	C	Interest	M	T					
42. NORTHSIDE TX IND SCH	A	Interest			Sold	02/12/18	L		
43. SUFFOLK CTY NY INTR.	C	Interest	M	T					
44. HOUSTON TX UTILITY SYS	C	Interest	M	T					
45. TRIBOROUGH NY BRIDGE	C	Interest	M	T					
46. PORT AUTH NY	C	Interest	L	T					
47. ST LAWRENCE CTY NY	C	Interest	L	T					
48. NYS DORM AUTH	D	Interest			Sold	05/10/18	M		
49. LEE CTY FL SCH BD	C	Interest			Sold	02/18/18	M		
50. CONNECTICUT ST	C	Interest	M	T					
51. BAY AREA CA	C	Interest	M	T					

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52. KENTUCKY ST TPKE	D	Interest	M	T					
53. NYC NY TRA	B	Interest			Sold	01/03/18	M		
54. ISLIP NY	B	Interest			Sold	02/04/18	M		
55. SUFFOLK CTY NY	C	Interest	M	T					
56. NYS DORM AUTH	B	Interest	L	T					
57. ARIZONA ST	B	Interest	L	T					
58. OKLAHOMA CITY, OK WTR	B	Interest			Sold	05/02/18	M		
59. PENNSYLVANIA ST	B	Interest	L	T	Buy	02/01/18	L		
60. ISLIP NY	C	Interest	M	T	Buy	02/14/18	M		
61. NYC, NY	B	Interest	L	T	Buy	02/23/18	L		
62. BLACK BELT ENERGY GAS	B	Interest	L	T	Buy	02/26/18	L		
63. CALIFORNIA STATE	C	Interest	M	T	Buy	03/07/18	M		
64. NYC, NY	C	Interest	M	T	Buy	03/08/18	M		
65. NY STATE URBAN DEV	B	Interest	M	T	Buy	05/10/18	M		
66. MASSACHUSETTS ST	B	Interest			Buy	05/10/18	M		
67.					Sold	08/06/18	M	A	
68. NEW YORK STATE DORM	B	Interest	M	T	Buy	05/10/18	M		

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69. HUDSON YARD INFAS		None	M	T	Buy	08/20/18	M		
70. NEW YORK STATE DORM	C	Interest	M	T	Buy	09/15/18	M		
71.									
72. MUTUAL FUNDS									
73. GREYCOURT PARTNERS FUND (IRA))	G	Dividend	P1	T					
74. GREYCOURT PARTNERS FUND	G	Dividend	P2	T					
75.									
76.									
77. MISCELLANEOUS									
78. CASH, JPMORGAN CHASE	E	Interest	O	T					
79. FINE ARTS HELD AS TENANT-IN-COMMON		None	P1	W					
80. ARBOR PPTY TRUST		None	K	T					
81. SERVICEMASTER LP		None	M	T					
82.									
83. NOTE: JUDGE STEIN HAS ELECTED NOT TO									
84. LIST INFORMATION BY FAMILY MEMBER									

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

None

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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/ **Sidney H. Stein**

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