

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 01/23/2018
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 01/01/2016 to 12/31/2016
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.	

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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. 2016	New York University School of Law	\$27,495.00
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. 2016	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	April 27-28 and July 25-27, and October 23-24, 2016	Charleston SC/San Diego, CA	Participate in panels at FJC workshop for judges	Travel, lodging, food
2. United States Judiciary -- Pretrial Services Agency	May 31-June 3, 2016	Anaheim, CA	Attend conference on treatment courts for judges and practitioners	Travel, lodging, food
3. United States Judiciary -- Federal Judicial Center	October 23-24, 2016	Washington, DC	Participate in panel at FJC workshop for judges	Travel, lodging, food
4. American Bar Association	November 14-15, 2016	Washington, DC	Participate in panel discussion at ABA conference on national security	Travel, lodging, food

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5.	United States Judiciary -- Federal Judicial Center	December 14-16, 2016	Atlanta, GA	Attend workshop on settlement in complex and multidistrict litigation	Travel, lodging, food
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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.	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.			

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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 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)

1. Chase bank accounts (with Family Member #2)	A	Interest	K	T					
2. IBM	A	Dividend	K	T					
3. Verizon	A	Dividend	J	T					
4. Frontier Communications Corp. (x)	A	Dividend	K	T					
5. Nathan Family Real Estate Trust (as appraised on 11/12/2008)		None	K	Q					
6. JO UBS ACCT (...12)	A	Dividend	J	T					
7. --UBS Bank USA Deposit Acct.		None	J	T					
8. -- UNTS FT TGT VIP 1Q 15		None			Redeemed	04/13/16	J		
9. -- Vanguard High Divid Yield ETF	A	Dividend	J	T	Buy	04/19/16	J		
10. JO UBS ACCT (...83)		None	N	T					
11. -- JPMorgan 529 Moderate Growth Portfolio Fund Class A		None	N	T					
12. JO UBS ROTH (...47)	E	Int./Div.	O	T					
13. --UBS Bank USA Deposit Account	A	Interest	J	T					
14. -- Alphabet Class A		None	K	T					
15. -- Alphabet Class C		None	K	T					
16. -- Biogen Inc.		None			Sold	09/28/16	K	A	
17. -- Celgene Corp.		None			Sold	09/28/16	K		

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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18. -- Goldman Sachs ActiveBeta US Large Cap Fund	A	Dividend	L	T	Buy	09/28/16	L		
19. --Ishares Trust Core S&P Smallcap	A	Dividend	K	T					
20. --SPDR S&P Midcap 400	A	Dividend	K	T					
21. -- Fidelity Advisor Real Estate Income Fund Class I	A	Dividend	K	T	Buy	09/26/16	K		
22. --Fidelity Advisor New Insights Fund	C	Dividend	L	T					
23. --Nuveen Quality Preferred Income Fund 2	A	Dividend			Merged (with line 25)	05/10/16	J		See note, part VIII
24. --Nuveen Quality Preferred Income Fund	A	Dividend			Merged (with line 25)	05/10/16	J	A	See note, part VIII
25. -- Nuveen Preferred Securities Income Fund	A	Dividend	K	T	Open	05/10/16	J		See note, part VIII
26. -- Pimco Corporate & Income Oppor Fund	A	Dividend	K	T	Buy	09/28/16	K		
27. -- Pioneer High Income Trust	A	Dividend	K	T	Buy	09/28/16	K		
28. -- Western Asset High Income Fund II	A	Dividend	K	T	Buy	09/28/16	K		
29. --AB (Alliance Bernstein) High Income Fund	C	Dividend	L	T					
30. --Putnam Diversified Income Trust	B	Dividend	K	T					
31. -- Templeton Global Total Return Class A	A	Dividend	K	T					
32. -- Dreyfus Global Real Return Fund I	A	Dividend	K	T	Buy	09/26/16	K		
33. -- Invesco Balanced-Risk Allocation Fund A	B	Dividend	K	T	Sold (part)	10/28/16	J		
34. -- Nuveen Real Asset Income Fund Class A	A	Dividend	J	T					

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35. -- Putnam Capital Spectrum A		None			Sold	09/26/16	K		
36. FAMILY #2 UBS ROTH (...48)	C	Dividend	M	T					
37. -- UBS Bank USA Dep Acct		None	J	T					
38. -- American Funds Capital World Growth & Income Fund Cl A	B	Dividend	J	T					
39. -- American Funds New World Fund Cl A	A	Dividend	J	T					
40. -- American Funds Smallcap World Fund Cl A	A	Dividend	K	T					
41. -- American Funds Euro Pacific Growth Fund Cl A	A	Dividend	J	T					
42. -- American Funds Growth Fund of America Cl A	B	Dividend	K	T	Buy (add'l)	01/13/16	J		
43. -- American Funds New Perspective Fund Cl A	A	Dividend	J	T					
44. -- American Funds Washington Mutual Investors Fund Cl A	B	Dividend	K	T					
45. -- Kern County CA Municipal Bond		None	K	T					
46. -- American Funds American Balanced Fund Cl A	A	Dividend	J	T					
47. -- American Funds Income Fund of America	A	Dividend	K	T					
48. JO UBS ACCT (...29)		None	N	T					
49. -- CollegeAmerica 529 Bond Fund of America		None	K	T					
50. -- CollegeAmerica 529 Capital World Growth & Income Fund		None	L	T					
51. -- CollegeAmerica 529 Euro Pac Growth Fund		None	K	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -- CollegeAmerica 529 Growth Fund of America		None	L	T					
53. -- CollegeAmerica 529 Income Fund of America		None	K	T					
54. -- CollegeAmerica 529 New Perspective Fund		None	K	T					
55. -- CollegeAmerica 529 Smallcap World Fund		None	K	T					
56. -- CollegeAmerica 529 Washington Mutual Investors Fund		None	L	T					
57. JOINT UBS ACCT (...48)	B	Interest	P1	T					
58. -- UBS Bank USA Dep Acct	A	Int./Div.	K	T					
59. -- UNTS FT TGT VIP 1Q 15		None			Redeemed	04/13/16	J		
60. -- Sallie Mae Ednotes Callable	A	Interest	J	T					
61. -- Dry Creek CA Municipal Bond		None	J	T					
62. -- Yorba Linda CA Municipal Bond		None	K	T					
63. -- DC Washington Mandarin Hotel Municipal Bond		None	K	T					
64. -- Adams 12 Five Star Schs Colo Municipal Bond		None			Redeemed	12/15/16	K		
65. -- New York City SR A Municipal Bond		None	J	T					
66. -- Brock Tex Indpt Sch Dst Municipal Bond		None			Redeemed	08/15/16	K		
67. -- Medina Valley TX Municipal Bond		None	K	T	Sold (part)	12/05/16	J	A	
68. -- Utah Tran Auth Sales Tax Municipal Bond		None	K	T					

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69. -- Chicago IL Bd of Ed Municipal Bond		None	L	T					
70. -- Athens-Clarke County GA Municipal Bond	A	Interest	K	T					
71. -- Monterey Peninsula CA Municipal Bond		None			Sold	06/08/16	K	C	
72. -- Chicago IL Lakefront Municipal Bond		None	K	T					
73. -- NJ Trans Trust Municipal Bonds		None	M	T					
74. -- Wentzville Mo Sch Municipal Bond		None	K	T	Sold (part)	04/25/16	K	C	
75. -- St Johns Cnty FL Wtr Swr Sr B Municipal Bond		None			Sold	04/25/16	K	B	
76. -- Escondido CA UHSD Municipal Bond		None	K	T					
77. -- San Joaquin Delta Comnty Ser B Municipal Bond		None	L	T					
78. -- Denton TX Indep Sch Municipal Bond		None			Redeemed	08/15/16	K		
79. -- Mesquite TX ISD Municipal Bond		None	J	T	Sold (part)	04/25/16	K	A	
80. -- Ennis TX Indpt Sch Dst Municipal Bond		None			Redeemed	08/15/16	J	A	
81. -- John Hancock New York Venture Annuity (see components lines 82-91)		None	N	T					
82. ----Van Kampen Value fund (17.20%)		None	L	T					
83. ---- Fundamental Large Cap fund (13.40%)		None	K	T					
84. ---- Small Cap Value fund (11.70%)		None	K	T					
85. ---- High Yield fund (11.00%)		None	K	T					

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86. ---- Mid Cap Index fund (10.50%)		None	K	T					
87. ---- 500 Index B fund (10.30%)		None	K	T					
88. ---- Wellington Mid Cap fund (7.70%)		None	K	T					
89. ---- Core Bond fund (7.50%)		None	K	T					
90. ---- Templeton-Global fund (6.90%)		None	K	T					
91. ---- Templeton-Int'l Value fund (4.00%)		None	J	T					
92. -- Lincoln Life Moneyguard Reserve		None	M	T					
93. JOINT UBS ACCT (...49)	E	Int./Div.	P1	T					
94. -- UBS Bank USA Dep Acct	A	Interest	J	T					
95. -- AT&T Inc	B	Dividend	K	T					
96. -- Reynolds Amern Inc.	A	Dividend	K	T					
97. -- Salesforce.com Inc		None	K	T					
98. -- Ishares S&P 500 Value ETF	B	Dividend	K	T	Buy	01/13/16	K		
99. -- Ishares S&P 500 Growth ETF	A	Dividend	K	T	Buy	01/12/16	K		
100. -- Fidelity Advisor Biotechnology Fund		None			Sold (part)	06/06/16	J		
101.					Sold	08/02/16	K		
102. -- Fidelity Advisor New Insights Fund C1 A	C	Dividend	L	T					

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103. -- Henderson Global Equity Income Fund Class A	C	Dividend			Sold	12/15/16	L		
104. -- Henderson International Opportunities Fund Class I	B	Dividend	L	T	Buy	12/16/16	L		
105. -- Hennessy Cornerstone Growth Fund Institutional Class		None	L	T					
106. -- JP Morgan U.S. Large Cap Core Plus Fund A	C	Dividend	L	T					
107. -- Neuberger Berman Equity Income Fund Class A	C	Dividend	M	T					
108. -- Neuberger Berman Intrinsic Value Fund Class A	A	Dividend	L	T					
109. -- Oakmark Fund Class I	B	Dividend	L	T					
110. -- Salient MLP Energy Infrastructure II Class I	C	Dividend	L	T	Sold (part)	06/06/16	J	B	
111. -- Virtus Emerging Markets Opportunities Fund Class I	A	Dividend	K	T					
112. -- Deutsche Floating Rate Fund Class S	A	Dividend			Sold	02/29/16	K		
113. -- Loomis Sayles Strategic Income Fund Class A	B	Dividend	K	T					
114. -- Lord Abbett Floating Rate Fund	B	Dividend	K	T					
115. -- Nuveen High Yield Municipal Bond Fund I	A	Dividend			Buy	08/29/16	K		
116.					Sold	12/15/16	K	A	
117. -- Nuveen Limited Term Municipal Bond Fund Class I		None	K	T	Buy	12/16/16	K		
118. -- Gateway Fund Class Y	A	Dividend	L	T					
119. -- Neuberger Berman Long Short Fund Class A		None	K	T	Sold (part)	06/06/16	J	B	

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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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)
120.					Sold (part)	10/28/16	J	A	
121. -- First Eagle Global Fund Class A	C	Dividend	L	T					
122. JO/FAMILY #3 UBS ACCT (...77)	B	Dividend	K	T					
123. -- UBS Bank USA Dep Acct		None	J	T					
124. -- Amer Funds Capital World Growth & Income Fund Cl A	B	Dividend	K	T					
125. JO/FAMILY #4 UBS ACCT (...79)	B	Dividend	K	T					
126. -- UBS Bank USA Dep Acct		None	J	T					
127. -- Amer Funds Capital World Growth & Income Fund Cl A	B	Dividend	K	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
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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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 5: The valuation of my share of the Nathan Family 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.

Part VII, lines 23-25: On May 10, 2016, my holdings previously reported as, respectively, "Nuveen Quality Preferred Income Fund" and "Nuveen Quality Preferred Income Fund 2" were merged into a new fund under the name "Nuveen Preferred Securities Income Fund." The merger resulted in an adjustment of my holdings that generated less than one dollar in capital gains, which I have reported as a partial sale on line 24.

Part VII, line 81: Specific investment funds within the variable portion of the John Hancock New York Venture Annuity are listed in lines 82-91, along with the percentage each fund represents in the value of the total portfolio. I have estimated the value of each component fund by multiplying the reported percentage by the total reported value of the annuity as of December 2016.

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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/ 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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