

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 08/01/2019
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 01/01/2017 to 12/31/2017
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. 2017	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. 2017	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.				
2. University of Connecticut Law School	Jan. 26-27, 2017	Hartford, CT	Participate in law school symposium	Lodging, food
3. Cornell University Law School	Feb. 20-21, 2017	Ithaca, NY	Give speech at law school	Travel, lodging, food
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.	Department of Education Direct Loan Servicing	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 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 (██████████ #2)	A	Interest	J	T					
2. IBM	A	Dividend	K	T					
3. Verizon	A	Dividend	J	T					
4. Frontier Communications Corp. (X)		None			Sold	07/10/17	J	A	
5. ██████████ Real Estate Trust (as appraised on 11/12/2008)		None	K	Q					
6. ████████ UBS ACCT (...12)	A	Dividend	J	T					
7. --UBS Bank USA Deposit Acct.		None	J	T					
8. -- Vanguard High Divid Yield ETF	A	Dividend	J	T					
9. ████████ UBS ACCT (...83)		None	N	T					
10. -- JPMorgan 529 Moderate Growth Portfolio Fund Class A		None	N	T					
11. ████████ UBS ROTH (...47)	E	Int./Div.	O	T					
12. --UBS Bank USA Deposit Account	A	Interest	J	T					
13. -- Alphabet Class A		None	K	T					
14. -- Alphabet Class C		None	K	T					
15. -- Goldman Sachs ActiveBeta US Large Cap Fund	B	Dividend	L	T					
16. --Ishares Trust Core S&P Smallcap	A	Dividend	L	T					
17. -- Ishares Select Divid ETF	A	Dividend	K	T	Buy	02/14/17	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	
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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18. --SPDR S&P Midcap 400	A	Dividend	K	T					
19. -- Fidelity Advisor Real Estate Income Fund Class I	B	Dividend	K	T	Buy (add'l)	02/13/17	J		
20.					Buy (add'l)	06/05/17	J		
21.					Sold (part)	07/27/17	J	A	
22.					Buy (add'l)	09/11/17	J		
23.					Sold (part)	10/26/17	J	A	
24.					Buy (add'l)	12/18/17	J		
25. --Fidelity Advisor New Insights Fund	D	Dividend	L	T	Buy (add'l)	12/11/17	J		
26. -- Cohen & Steers Ltd Duration Pfd & Income Fund Inc	A	Dividend	K	T	Buy	09/26/17	K		
27. -- Nuveen Preferred Securities Income Fund	B	Dividend	K	T					
28. -- Pimco Corporate & Income Oppor Fund	B	Dividend			Sold (part)	09/26/17	K	C	
29.					Sold	10/06/17	J	A	
30. -- Pioneer High Income Trust	B	Dividend	K	T					
31. -- Western Asset High Income Fund II	B	Dividend	K	T					
32. --AB (Alliance Bernstein) High Income Fund	C	Dividend	L	T	Buy (add'l)	01/03/17	J		
33.					Buy (add'l)	02/01/17	J		
34.					Buy (add'l)	03/01/17	J		

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35.					Buy (add'l)	04/03/17	J		
36.					Buy (add'l)	05/01/17	J		
37.					Buy (add'l)	06/01/17	J		
38.					Buy (add'l)	07/03/17	J		
39.					Buy (add'l)	08/01/17	J		
40.					Buy (add'l)	09/01/17	J		
41.					Buy (add'l)	10/02/17	J		
42.					Buy (add'l)	11/01/17	J		
43.					Buy (add'l)	12/01/17	J		
44. --Putnam Diversified Income Trust	B	Dividend	K	T					
45. -- Templeton Global Total Return Class A	A	Dividend	K	T					
46. -- Dreyfus Global Real Return Fund I		None			Sold	02/10/17	K	A	
47. -- Invesco Balanced-Risk Allocation Fund A	B	Dividend	K	T	Buy (add'l)	12/14/17	J		
48. -- Nuveen Real Asset Income Fund Class A	A	Dividend	K	T					
49. ████████ #2 UBS ROTH (...48)	D	Dividend	M	T					
50. -- UBS Bank USA Dep Acct		None	J	T					
51. -- American Funds Capital World Growth & Income Fund C1 A	B	Dividend	K	T	Buy (add'l)	12/21/17	J		

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52. -- American Funds New World Fund CI A	A	Dividend	J	T					
53. -- American Funds Smallcap World Fund CI A	B	Dividend	K	T	Buy (add'l)	12/21/17	J		
54. -- American Funds Euro Pacific Growth Fund CI A	A	Dividend	J	T	Buy (add'l)	06/15/17	J		
55.					Buy (add'l)	12/22/17	J		
56. -- American Funds Growth Fund of America CI A	B	Dividend	K	T	Buy (add'l)	12/21/17	J		
57. -- American Funds New Perspective Fund CI A	A	Dividend	J	T	Buy (add'l)	12/22/17	J		
58. -- American Funds Washington Mutual Investors Fund CI A	B	Dividend	K	T	Buy (add'l)	06/19/17	J		
59.					Buy (add'l)	12/19/17	J		
60. -- Kern County CA Municipal Bond		None	J	T					
61. -- American Funds American Balanced Fund CI A	A	Dividend	J	T	Buy (add'l)	12/20/17	J		
62. -- American Funds Income Fund of America	A	Dividend	J	T	Buy (add'l)	12/20/17	J		
63. ■ UBS ACCT (...29)		None	N	T					
64. -- CollegeAmerica 529 Bond Fund of America		None	K	T					
65. -- CollegeAmerica 529 Capital World Growth & Income Fund		None	L	T					
66. -- CollegeAmerica 529 Euro Pac Growth Fund		None	K	T					
67. -- CollegeAmerica 529 Growth Fund of America		None	L	T					
68. -- CollegeAmerica 529 Income Fund of America		None	L	T					

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69. -- CollegeAmerica 529 New Perspective Fund		None	K	T					
70. -- CollegeAmerica 529 Smallcap World Fund		None	K	T					
71. -- CollegeAmerica 529 Washington Mutual Investors Fund		None	L	T					
72. [REDACTED] UBS ACCT (...48)	B	Interest	O	T					
73. -- UBS Bank USA Dep Acct	A	Interest	K	T					
74. -- Sallie Mae Ednotes Callable	A	Interest	J	T					
75. -- Dry Creek CA Municipal Bond		None			Redeemed	08/01/17	J		
76. -- Yorba Linda CA Municipal Bond		None	J	T	Redeemed (part)	09/01/17	J		
77. -- DC Washington Mandarin Hotel Municipal Bond		None	K	T					
78. -- New York City SR A Municipal Bond		None	J	T					
79. -- Medina Valley TX Municipal Bond		None			Sold (part)	02/08/17	J		
80.					Redeemed	02/15/17	K		
81. -- Utah Tran Auth Sales Tax Municipal Bond		None			Redeemed	06/15/17	K		
82. -- Chicago IL Bd of Ed Municipal Bond		None	K	T	Sold (part)	04/25/17	K	C	
83. -- Athens-Clarke County GA Municipal Bond	A	Interest	K	T					
84. -- Chicago IL Lakefront Municipal Bond		None	K	T					
85. -- NJ Trans Trust Municipal Bonds		None	M	T					

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86. -- Wentzville Mo Sch Municipal Bond		None	K	T					
87. -- Escondido CA UHSD Municipal Bond		None	K	T					
88. -- San Joaquin Delta Comnty Ser B Municipal Bond		None	L	T					
89. -- Mesquite TX ISD Municipal Bond		None			Redeemed	08/15/17	J	A	
90. -- John Hancock New York Venture Annuity (see components lines 91-100)		None	N	T					
91. ----Van Kampen Value fund (0%)		None	J	T					
92. ---- Fundamental Large Cap fund (13.90%)		None	L	T					
93. ---- Small Cap Value fund (10.70%)		None	K	T					
94. ---- High Yield fund (10.40%)		None	K	T					
95. ---- Mid Cap Index fund (27.30%)		None	M	T					
96. ---- 500 Index B fund (11.00%)		None	K	T					
97. ---- Wellington Mid Cap fund (8.70%)		None	K	T					
98. ---- Core Bond fund (6.80%)		None	K	T					
99. ---- Templeton-Global fund (7.20%)		None	K	T					
100. ---- Templeton-Int'l Value fund (4.10%)		None	K	T					
101. -- Lincoln Life Moneyguard Reserve		None	L	T					
102. [REDACTED] UBS ACCT (...49)	F	Int./Div.	P1	T					

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103. -- UBS Bank USA Dep Acct	A	Interest	J	T					
104. -- AT&T Inc	B	Dividend	K	T					
105. -- Reynolds Amern Inc.	A	Dividend			Sold	07/24/17	J	D	See note, part VIII
106. -- British Amer Tobacco plc	A	Dividend			Spinoff (from line 105)	07/24/17	J		See note part VIII
107.					Sold (part)	07/25/17	J		
108.					Sold	11/21/17	K		
109. -- Salesforce.com Inc		None	K	T	Donated (part)				
110.					Donated (part)				
111.					Donated (part)				
112.					Donated (part)				
113.					Donated (part)				
114. -- Ishares S&P 500 Value ETF	B	Dividend	L	T					
115. -- Ishares S&P 500 Growth ETF	A	Dividend	L	T					
116. -- Fidelity Advisor New Insights Fund C1 A	D	Dividend	L	T	Buy (add'l)	02/13/17	J		
117.					Sold (part)	04/20/17	J	C	
118.					Sold (part)	06/05/17	J	B	
119.					Buy (add'l)	12/11/17	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	
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 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)
120. -- Henderson International Opportunities Fund Class I		None			Sold	01/19/17	L	A	
121. -- Janus Henderson Global Equity Income Fund Class I	C	Dividend	L	T	Buy	01/19/17	L		See note part VIII
122.					Buy (add'l)	03/29/17	J		
123.					Sold (part)	04/20/17	J	A	
124.					Buy (add'l)	06/28/17	J		
125.					Buy (add'l)	10/02/17	J		
126.					Buy (add'l)	12/20/17	J		
127. -- Hennessy Cornerstone Growth Fund Institutional Class		None	L	T					
128. -- JP Morgan U.S. Large Cap Core Plus Fund A	D	Dividend	L	T	Buy (add'l)	12/14/17	J		
129. -- Neuberger Berman Equity Income Fund Class A	D	Dividend	L	T	Buy (add'l)	03/27/17	J		
130.					Sold (part)	03/30/17	K	C	
131.					Buy (add'l)	06/26/17	J		
132.					Sold (part)	09/20/17	J	B	
133.					Buy (add'l)	09/25/17	J		
134.					Buy (add'l)	12/18/17	J		
135. -- Neuberger Berman Intrinsic Value Fund Class A	C	Dividend	L	T	Sold (part)	04/20/17	J	C	
136.					Buy (add'l)	12/18/17	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 \$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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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)
137. -- Oakmark Fund Class I	C	Dividend	L	T	Buy (add'l)	12/15/17	J		
138. -- Salient MLP Energy Infrastructure II Class I	C	Dividend	K	T	Buy (add'l)	02/17/17	J		
139.					Sold (part)	04/20/17	J	C	
140.					Buy (add'l)	05/17/17	J		
141.					Buy (add'l)	08/17/17	J		
142.					Sold (part)	09/20/17	J	C	
143.					Sold (part)	10/04/17	J	B	
144.					Buy (add'l)	11/17/17	J		
145. -- Virtus Emerging Markets Opportunities Fund Class I	A	Dividend	K	T					
146. -- Loomis Sayles Strategic Income Fund Class A	B	Dividend	L	T	Buy (add'l)	12/18/17	J		
147. -- Lord Abbett Floating Rate Fund	B	Dividend	K	T					
148. -- Nuveen Limited Term Municipal Bond Fund Class I	A	Dividend			Sold	01/19/17	K	A	
149. -- Nuveen High Yield Municipal Bond Fund I	B	Dividend	K	T	Buy	01/19/17	K		
150.					Buy (add'l)	03/01/17	J		
151.					Buy (add'l)	04/03/17	J		
152.					Buy (add'l)	05/01/17	J		
153.					Buy (add'l)	06/01/17	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	
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)
154.					Buy (add'l)	07/03/17	J		
155.					Buy (add'l)	08/01/17	J		
156.					Buy (add'l)	12/01/17	J		
157. -- Gateway Fund Class Y	A	Dividend	K	T	Buy (add'l)	03/30/17	J		
158.					Buy (add'l)	09/29/17	J		
159. -- Neuberger Berman Long Short Fund Class A		None			Sold	01/10/17	K	C	
160. -- First Eagle Global Fund Class A	C	Dividend	M	T	Buy (add'l)	12/14/17	J		
161. ████████ #3 UBS ACCT (...77)	C	Dividend	K	T					
162. -- UBS Bank USA Dep Acct		None	J	T					
163. -- Amer Funds Capital World Growth & Income Fund Cl A	C	Dividend	K	T	Buy (add'l)	06/15/17	J		
164.					Buy (add'l)	12/21/17	J		
165. ████████ #4 UBS ACCT (...79)	C	Dividend	K	T					
166. -- UBS Bank USA Dep Acct		None	J	T					
167. -- Amer Funds Capital World Growth & Income Fund Cl A	C	Dividend	K	T	Buy (add'l)	06/15/17	J		
168.					Buy (add'l)	12/21/17	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
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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 [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.

Part VII, line 90: Specific investment funds within the variable portion of the John Hancock New York Venture Annuity are listed in lines 91-100, 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 2017.

Part VII, lines 105-106: My holdings in Reynolds Amern were exchanged for a similarly valued amount of shares of British Amer Tobacco plc and a small amount of cash on July 24, 2017, as the result of a merger.

Part VII, line 121: The name of this asset changed from "Henderson Global Equity Income Fund I" to "Janus Henderson Global Equity Income Fund Class I" on June 6, 2017.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544