

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Locke, Steven I.	2. Court or Organization District Court, Eastern District of New York	3. Date of Report 02/11/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 07/31/2014
7. Chambers or Office Address Alfonse M D'Amato US Courthouse Room 834 Central Islip, NY 11722		
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.	Partner	Carabba Locke, LLP
2.	Officer	Law Offices of Steven I Locke, PC
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Carabba Locke LLP. Law practice net income.	\$86,401.00
2. 2013	Law Offices of Steven I Locke, PC. Law practice salary.	\$184,750.00
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. 2012	The City of New York, Salary
2. 2013	The City of New York, Salary
3. 2014	The City of New York, Salary
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. Exempt				
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.	Exempt		
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.	Quicken Loans	Mortgage on combined personal residence/rental property #1, Brooklyn, NY, Pt VII, line 67	O
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. Citibank accounts	A	Interest	K	T	Exempt				
2. Hormel, Inc Common Stock	A	Dividend	J	T	Exempt				
3. Brokerage Account #1 (H)									
4. -JPMorgan TR I Prime Money Market	A	Interest	K	T	Exempt				
5. -Atmel Corp Common Stock	A	Dividend	J	T	Exempt				
6. -Citadel Broadcasting Corp	A	Dividend			Exempt				
7. -Walt Disney Co Common Stock	A	Dividend	J	T	Exempt				
8. -First Horizon Natl Corp Common Stock	A	Dividend	J	T	Exempt				
9. -International Business Machines Common Stock	B	Dividend	L	T	Exempt				
10. -Macquarie Infrastructure Co LLC Membership Int	C	Distribution	K	T	Exempt				
11. -Motorola Solutions Inc. Common Stock	A	Dividend	J	T	Exempt				
12. -Pfizer Inc Common Stock	A	Dividend	J	T	Exempt				
13. -Terra Inventions Corp Common Stock	A	Dividend	J	T	Exempt				
14. -Teradyne Inc Common Stock	A	Dividend	J	T	Exempt				
15. Brokerage Account #2(H)									
16. -Columbia Acorn Fund A	A	Dividend	J	T	Exempt				
17. Brokerage 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	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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☐ 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)

18. -Citadel Broadcasting Corp	A	Dividend			Exempt				
19. -Corning, Inc.	A	Dividend	J	T	Exempt				
20. -Walt Disney Co	A	Dividend	J	T	Exempt				
21. -International Business Machines Corp	A	Dividend	J	T	Exempt				
22. -Pepsico	A	Dividend	J	T	Exempt				
23. -Cash - JPMorgan Securities	A	Interest	J	T	Exempt				
24. Brokerage Account #4 (H)									
25. -Walt Disney Co	A	Dividend	J	T	Exempt				
26. -Pepsico	A	Dividend	J	T	Exempt				
27. -Cash - JPMorgan Securities	A	Interest	J	T	Exempt				
28. Retirement Account #1 (H)									
29. -General Money Market Fd CI B	A	Interest	J	T	Exempt				
30. -Dreyfus Ins Deposit Program I	A	Interest	J	T	Exempt				
31. -American Century Short Duration Inflation Protect- ion Bnd Fd Inv CI	A	Dividend	J	T	Exempt				
32. -The Arbitrage Fund Class R	A	Dividend			Exempt				See Note 2, Part VIII
33. -Columbia Acorn Internation Fd CI R4	B	Dividend	K	T	Exempt				
34. -Credit Suisse Commodity Return Strategy Fd CI I	A	Dividend	K	T	Exempt				

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35. -Eagle Small Cap Growth Fund C1 I	A	Dividend	J	T	Exempt				
36. -Eaton Vance Floating Rate High Income Instit Class	A	Dividend	J	T	Exempt				
37. -Europacific Growth Fund Class F-1	A	Dividend			Exempt				
38. -Fidelity Advisor Mid Cap II Fd Class I	A	Dividend	K	T	Exempt				
39. -Fidelity advisor New Insights Fd Class I	A	Dividend	L	T	Exempt				
40. -Franklin High Income Fund Class A	A	Dividend			Exempt				
41. -Fundamental Investors Class F-2	A	Dividend	L	T	Exempt				
42. -Harbor Bond Fd Instit Class	A	Dividend	K	T	Exempt				
43. -Hussman Strategic Growth Fund	A	Dividend			Exempt				See Note 2, Part VIII
44. -Perkins Mid Cap Value Dund Class T	A	Dividend			Exempt				
45. -The Oakmark International Fund Class I	A	Dividend	K	T	Exempt				
46. -John Hancock Disciplined Value Mid Cap Fund Class I	A	Dividend	K	T	Exempt				
47. -Loomis Sayles Bond Fund Retail Class	A	Dividend			Exempt				
48. -Merger Fund (CUSIP MERFX)	A	Dividend			Exempt				See Note 2, Part VIII
49. -MFS International Value Fund Class I	A	Dividend	K	T	Exempt				
50. -MFS Value Fund Class I	B	Dividend	L	T	Exempt				
51. -Metropolitan West Total Return Bond Fund Class M	A	Int./Div.			Exempt				

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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. -Oppenheimer Developing Markets Fund Class Y	A	Dividend	K	T	Exempt				
53. -Pimco Income Fund Class A	B	Dividend			Exempt				
54. -Pimco Income Fund Class P	B	Dividend	K	T	Exempt				
55. -Pimco Low Duration Class A	A	Int./Div.			Exempt				
56. -T Rowe Price Emerging Markets Stock	A	Distribution	J	T	Exempt				
57. -Royce Opportunity Fund Investment Class	A	Dividend	J	T	Exempt				
58. -Russell Global Real Estate Sec Fd Class S	B	Dividend	K	T	Exempt				
59. -Scout International Global Bond Fund Class A	A	Int./Div.			Exempt				
60. -Templeton Global Bond Fund Advisor Class	A	Dividend	J	T	Exempt				
61. Retirement Account #2 (H)									
62. -Dreyfus Ins Deposit Program I	A	Interest	J	T	Exempt				
63. -Alliance Bernstein Global Real Estate Investment Fd Cl A	A	Dividend	J	T	Exempt				
64. -Europacific Growth Fund Class A	A	Dividend	J	T	Exempt				
65. -The Growth Fund of America Class A	A	Dividend	J	T	Exempt				
66. -MFS Value Fund Class I	A	Dividend	J	T	Exempt				
67. -Munder Veracity Small-Cap Value Fund Class A	A	Dividend	J	T	Exempt				
68. -Oppenheimer Global Strategic Income Fund Class A	A	Dividend	J	T	Exempt				

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69. -Pimco Total Return Class A	A	Dividend	J	T	Exempt				
70. -Small-Cap World Fund Class A	A	Dividend	J	T	Exempt				
71. -Washington Mutual Investors Fund Class A	A	Dividend	J	T	Exempt				
72. Retirement Account #3 (H)									
73. -Dreyfus Ins Deposit Program I	A	Interest			Exempt				See Note 2, Part VIII
74. -The Arbitrage Fund Class R	A	Dividend			Exempt				See Note 2, Part VIII
75. -Hussman Strategic Growth Fund	A	Dividend			Exempt				See Note 2, Part VIII
76. -Merger Fund (CUSIP MEREX)	A	Dividend			Exempt				See Note 2, Part VIII
77. College Fund #1 (H)									
78. -The Bond Fund of America -529A	A	Dividend	J	T	Exempt				
79. -The Growth Fund of America - 529A	A	Dividend	J	T	Exempt				
80. The Income Fund of America - 529A	A	Dividend	J	T	Exempt				
81. New Perspective Fund - 529A	A	Dividend	J	T	Exempt				
82. Washington Mutual Investors Fund - 529A	A	Dividend	J	T	Exempt				
83. College Fund #2 (H)									
84. -NYS 529 College Savings Plan-Moderate Age-Based Opt. Conserve Growth		Dividend	M	T	Exempt				See Note 1, Part VIII
85. College Fund #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
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86.	-NYS 529 College Savings Plan-Moderate Age-Based Opt. Conserve Growth		Dividend	M	T	Exempt			See Note 1, Part VIII
87.	Rental Property #1, Brooklyn, NY	F	Rent	P1	R	Exempt			See Note 3, Part VIII
88.	Law Offices of Steven I Locke, PC	F	Dividend	M	U	Exempt			
89.									

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

Notes to Part VII.

Note 1. College Funds which do not report income as an item separate from change in value.

Note 2. Retirement Account #3 was closed and assets transferred to Retirement Account #1.

Note 3. Property was purchased in 2002 for \$1,335,000.

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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/ Steven I. Locke

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