

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) AZRACK, JOAN M.	2. Court or Organization U.S. DISTRICT COURT, EASTERN DISTRICT NY	3. Date of Report 7/22/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 100 Federal Plaza 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. _____	_____
2. _____	_____
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.		
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. 2019	Salary and bonus from Landman Corsi Ballaine & Ford PC
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.				
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
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. Citibank NA Personal Banking NY, NY (multiple accounts)	A	Interest	O	T					
2. National Life Ins. Co. whole life policy	A	Dividend	N	T					
3. Fidelity VIP Equity Incm Port-Nationwide annuity contract (see VIII 4)		None			Sold	11/21/19	M		
4. Fidelity VIP Growth Port - Nationwide annuity contract (see VIII 4)		None			Sold	11/21/19	L		
5. Fidelity Overseas Port - Nationwide annuity contract (see VIII 4)		None			Sold	11/21/19	K		
6. Fidelity VIP2 Asst Mgr Port - Nationwide annuity contract (see VIII 4)		None			Sold	11/21/19	L		
7. PMA: Pimco Low Duration Fund Intl (IRA) (See VIII 1)	B	Distribution	L	T	Sold (part)	01/11/19	J	A	
8. (continuation of 7)					Buy (add'l)	04/29/19	J		
9. (continuation of 7)					Buy (add'l)	08/30/19	J		
10. (continuation of 7)					Sold (part)	10/10/19	J	A	
11. Oppenheimer Global Value Fund - Nationwide annuity contract(see VIII4)		None			Sold	11/21/19	L		
12. Fidelity Blue Chip Fund - Fidelity 401K (see VIII 3)		None	M	T					
13. Fidelity Diversified intl - Fidelity 401K		None	M	T					
14. Fidelity Freedom 2020 Fund - Fidelity 401K		None	K	T					
15. Fidelity Contrafund - Fidelity 401K		None	N	T					
16. Fidelity Growth & Inc - Fidelity 401K		None	M	T					
17. Fidelity Value Fund - Fidelity 401K		None	L	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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	(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)
18. Fidelity Government Money Market - Fidelity 401K		None	M	T					
19. Fidelity Investment Grade Bond Fund - Fidelity 401K		None	M	T					
20. Am Century Equity - Fidelity 401K		None	M	T					
21. JP Morgan Growth & Income "A" Shares	A	Dividend	J	T					
22. Walt Disney Co common stock	A	Dividend	J	T					
23. NW NVIT Money Market I - Nationwide annuity contract (see VIII 4)		None			Sold	11/21/19	K		
24. Oppenheimer: Catalyst Inside Buying Fund (IRA)	A	Dividend	K	T					
25. Oppenheimer: Voya Global Equity Div & Prm Opp Fund (IRA)	B	Dividend			Sold	05/08/19	J	A	
26. PMA: Vanguard High Yield Adm (IRA)	D	Distribution	L	T	Sold (part)	01/11/19	J	A	
27. (continuation of 26)					Buy (add'l)	04/29/19	J		
28. (continuation of 26)					Sold (part)	08/01/19	J	A	
29. (continuation of 26)					Sold (part)	08/29/19	K	A	
30. (continuation of 26)					Sold (part)	10/30/19	K	A	
31. Oppenheimer: Kinetics Paradigm Adv C (IRA)	A	Dividend	K	T					
32. PMA: Vanguard Short Term Investment Grade Fund (IRA)	B	Distribution	L	T	Sold (part)	01/11/19	J	A	
33. (continuation of 32)					Buy (add'l)	05/21/19	J		
34. (continuation of 32)					Buy (add'l)	08/30/19	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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35. (continuation of 32)					Buy (add'l)	10/30/19	J		
36. PMA: MetWest Intermediate Bond Fund	A	Distribution	K	T	Sold (part)	08/28/19	J	A	
37. (continuation of 36)					Buy (add'l)	10/29/19	J		
38. Northwestern Mutual Life Ins. whole policy	B	Dividend	L	T					
39. PMA: Vanguard Intermet Term Investment Grade Fund (IRA)	B	Distribution	L	T	Sold (part)	01/11/19	J	A	
40. (continuation of 39)					Sold (part)	08/29/19	J	A	
41. (continuation of 39)					Buy (add'l)	10/30/19	K		
42. NW NVIT Intl Equity Fund - Nationwide annuity contract (see VIII 4)		None			Sold	11/21/19	K		
43. NW NVIT Multi Mngr Intl Gr I - Nationwide annuity contract(VIII 4 & 6)		None			Sold	11/21/19	K		
44. JP Morgan Mid Cap Growth	A	Dividend	K	T					
45. NW NVIT DYNMC US Gr f/k/aNVIT Large Cap Gr I-Nationwideannuity -VIII4		None			Sold	11/21/19	M		
46. Oppenheimer: Large Cap formerly Black Rock (IRA)	A	Dividend			Sold	05/08/19	K	A	
47. Oppenheimer: Advantage Bank Deposits in various banks (IRA)	A	Interest	J	T					
48. PMA: Jensen Quality Grade (IRA)	C	Distribution	K	T					
49. PMA: Odyssey Growth Fund (IRA)	B	Distribution	K	T	Sold (part)	08/01/19	J	A	
50. (continuation of 49)					Buy (add'l)	08/30/19	J		
51. PMA: T Rowe Price Small Cap Stock Fund (IRA)	B	Distribution	K	T	Buy (add'l)	01/14/19	J		

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52. (continuation of 51)					Buy (add'l)	08/30/19	J		
53. PMA: Vanguard Extended Market Index (IRA)	A	Distribution	K	T	Sold (part)	08/01/19	J	A	
54. PMA: Vanguard 500 Index Fund (IRA)	C	Distribution	M	T	Buy (add'l)	01/11/19	J		
55. (continuation of 54)					Sold (part)	08/01/19	J	A	
56. (continuation of 54)					Buy (add'l)	08/29/19	J		
57. PMA: T. Rose Price Intl (IRA)	B	Distribution	J	T	Buy (add'l)	01/14/19	K		
58. (continuation of 57)					Sold (part)	08/29/19	K	A	
59. PMA: Vanguard Intl Index Fund (IRA)	B	Distribution	K	T	Buy (add'l)	01/14/19	J		
60. (continuation of 59)					Buy (add'l)	08/30/19	J		
61. PMA: Odyssey Growth Fund	B	Distribution	K	T					
62. PMA: Odyssey Aggressive Growth Fund	B	Distribution	K	T					
63. PMA: Vanguard Intl Index Fund	A	Distribution	K	T	Buy (add'l)	04/29/19	J		
64. PMA: Vanguard Extended Market Index Fund	A	Distribution	K	T					
65. PMA: Jensen Quality Growth	B	Distribution	K	T					
66. PMA: Vanguard 500 Index Fund	B	Distribution	L	T					
67. PMA: Pimco Low Duration Fund	A	Distribution	K	T	Buy (add'l)	10/28/19	J		
68. (continuation of 67)					Buy (add'l)	10/29/19	J		

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69. PMA: Vanguard High Yield Corporate Fund	B	Distribution	J	T	Buy (add'l)	04/29/19	J		
70. (continuation of 69)					Sold (part)	08/28/19	J	A	
71. (continuation of 69)					Sold (part)	10/28/19	J	A	
72. PMA: Vanguard Limited Term Tax Exempt Fund	A	Distribution	K	T	Buy (add'l)	08/28/19	J		
73. (continuation of 72)					Buy (add'l)	10/28/19	J		
74. (continuation of 72)					Buy (add'l)	10/29/19	J		
75. PMA: Vanguard Intmd Term Tax Exempt Fund	A	Distribution	K	T	Sold (part)	08/28/19	J	A	
76. (continuation of 75)					Buy (add'l)	10/29/19	J		
77. PMA: T Rowe Price Equity Inc.	C	Distribution	K	T					
78. PMA: American Beacon Intl Fund (IRA)		None			Sold	08/01/19	K	A	
79. PMA: Vanguard Growth Index Fund (IRA)	A	Distribution	K	T	Sold (part)	08/01/19	J	A	
80. PMA: T Rowe Price Equity Income Fund (IRA)	B	Distribution	K	T	Buy (add'l)	01/11/19	J		
81. PMA: Vanguard Growth Index Fund	A	Distribution	K	T					
82. PMA: MetWest Intermediate Bond Fund (IRA)	B	Distribution	L	T	Sold (part)	01/11/19	J	A	
83. (continuation of 82)					Sold (part)	08/29/19	J	A	
84. (continuation of 82)					Sold (part)	10/31/19	J	A	
85. McDonald's common stock	A	Dividend	J	T					

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86. Coca Cola common stock	A	Dividend	J	T					
87. Nike common stock class B	A	Dividend	J	T					
88. PMA: Fidelity Gvt Cash Reserves (see VIII 5)	A	Distribution	J	T					
89. PMA: USAA Short Term Bond Fund (IRA)	B	Distribution	K	T	Sold (part)	01/11/19	J	A	
90. (continuation of 89)					Buy (add'l)	05/21/19	J		
91. (continuation of 89)					Buy (add'l)	08/30/19	J		
92. (continuation of 89)					Buy (add'l)	10/30/19	J		
93. PMA: Fidelity Govt Cash Reserves (IRA) (see VIII 5)	A	Distribution	K	T					
94. Dodge Cox STK (IRA)	C	Distribution	K	T	Buy (add'l)	08/30/19	J		
95. Oppenheimer Nuveen NY Mun Value FD Tax Free Com (see VIII 7)		Int./Div.							
96. PMA Baird Core Plus (IRA)	B	Distribution	L	T	Sold (part)	01/11/19	J	A	
97. (continuation of 93)					Sold (part)	08/29/19	J	A	
98. (continuation of 93)					Buy (add'l)	10/31/19	K		
99. PMA Van Md VI Index (IRA)	B	Distribution	K	T	Buy (add'l)	01/14/19	J		
100. (continuation of 96)					Sold (part)	08/30/19	J	A	
101. PMA DFA Int'l Core Eq (IRA)	B	Distribution	K	T	Buy (add'l)	01/14/19	J		
102. (continuation of 98)					Buy (add'l)	08/30/19	J		

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2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. PMA DFA Int'l Small Comp (IRA)	A	Distribution	K	T	Sold (part)	08/29/19	J	A	
104. PMA Dodge Cox Int'l	A	Distribution	J	T	Buy (add'l)	05/21/19	J		
105. (continuation of 101)					Buy (add'l)	08/29/19	J		
106. PMA JH Dis Val MDCP	A	Distribution	K	T	Buy (add'l)	02/11/19	J		
107. PMA DFA Int'l Core Eq.	B	Distribution	K	T					
108. PMA FMI Large Cap Fund (IRA) (See VIII 7)	B	Distribution	J	T					
109. PMA Van Eq. Inc.	A	Distribution	J	T					
110. NW Mult Mgr MDCAPGRI - Nationwide Annuity Contract (see VIII 4)		None			Sold	11/21/19	J		
111. NW NVIT MULT MGRMDCAPVAL II - Nationwide Annuity Contract (see VIII 4)		None			Sold	11/21/19	J		
112. Oppenheimer FT Deep Value Dividend No. 23 (IRA)	A	Dividend	K	T	Buy	05/21/19	K		
113. Nationwide Fixed Annuity Invested S&P 500 Index Funds (See VIII 4)		None	O	T	Buy	11/21/19	N		
114. PMA Dodge Cox Int'l (IRA)	A	Distribution	K	T	Buy	01/04/19	J		
115. (continuation of 111)					Buy (add'l)	08/30/19	J		
116. PMA Vanguard Int'l Gr.	A	Distribution	K	T	Buy	08/02/19	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. PMA as used in Section VII refers to Prudential Management Associates, which maintains managed asset portfolios (individual and IRA) consisting of investments identified in that section.
2. Oppenheimer as used in Section VII refers to Oppenheimer & Co., Inc., which maintains brokerage accounts (individual and IRA) consisting of investments identified in that section.
3. Fidelity 401K as used in Section VII refers to a 401K account maintained by Fidelity Investments consisting of investments identified in that section. Each year, a maximum allowable 401K contribution is made (total value K,) which is allocated pursuant to formula among various of the 401K fund investments identified in this report. Each allocated amount has a value of J.
4. References to a Nationwide annuity contract is to the variable annuity contract held prior to 11/21/2019 or the fixed annuity contract acquired as of that date pursuant to an IRC 1035 exchange, on which there is no taxable gain. The funds held under the variable annuity contract are described in item nos 3-6, 11, 23, 42, 43, 45, 110 and 111. The non-taxable gain on these eleven funds as a result of the 1035 exchange have an aggregate value of N. The fund held under the fixed annuity contract is described in item no. 113.
5. In Section VII, items 88 and 93 are money market funds that would be the subject of multiple purchases and sales during the course of the year. At year end, the increased value of each fund had a value of J.
6. The 2018 report contained an inadvertent duplication of funds in item numbers 49 and 139 (re NW NVIT Mult Mgr Int'l Grade I - Nationwide Annuity Contract.) This report corrects the error by listing that fund only once, in item 43.
7. The 2018 report mistakenly identified the Oppenheimer Nuveen NY Mun Value FD Tax Free Com asset as the subject of a partial sale on 3/12/18. That entire asset was sold on that date. Accordingly columns C1 and C2 for the Nuveen asset identified on the 2018 report should have been left blank and column D.1 should have read Sold. Columns B1 and 2 and D2-4 remain unchanged. (Item 123 on the 2018 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/ JOAN M. AZRACK**

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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