

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) Koeltl, John G.	2. Court or Organization U.S.D.C. Southern District-NY	3. Date of Report 05/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 500 Pearl St. Room 1030 New York, New York 10007-1581		
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 LAW PROFESSOR	NY UNIVERSITY LAW SCHOOL
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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Name of Person Reporting

Koeltl, John G.

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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. 2019	NEW YORK UNIVERSITY - TEACHING	\$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.	
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.				

Name of Person Reporting	Date of Report
Koeltl, John G.	05/06/2020

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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Name of Person Reporting

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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. JOHNSON & JOHNSON - (COMMON)	D	Dividend	N	T					
2. PFIZER INC. - (COMMON)	D	Dividend	M	T					
3. ROYAL DUTCH SHELL PLC - (COMMON)	D	Dividend	L	T					
4. FEDERATED KAUFMANN LARGE CAP FUND CL C - MUTUAL FUND	A	Dividend	K	T					
5. ISHARES RUSSELL 1000 - MUTUAL FUND		None			Sold	01/15/19	K		
6. VANGUARD TOTAL STK MKT EFT FUND		None			Sold	01/15/19	M	E	
7. MERRILL LYNCH FIA MONEY FUND - N.Y.,N.Y.	A	Interest	K	T	Sold (part)	12/31/19	K		Net Decrease To MM Fund
8. DUTCHESS CTY BOND 4.5% DUE 08/01/26	B	Interest	L	T					
9. U.S. TREASURY BILL 0% DUE 05/21/2020		None	J	T	Buy	05/31/19	J		
10. NY ST DORM AT RV ST BOND 5% DUE 02/15/24	B	Interest	K	T					
11. NEW YORK NY G.O. BDS 2019 4% DUE 12/01/2041	B	Interest	L	T	Buy	01/17/19	L		
12. METROPOLITAN TRANS AUTH NY REV GREEN BDS 4% DUE 11/15/2046	B	Interest	L	T	Buy	02/21/19	L		
13. NEW YORK NY G.O. SUBSER J-1 BOND 5% DUE 05/15/31	A	Interest			Redeemed	05/15/19	J		
14. N.Y. STATE HSG FIN AGY BOND 4.9% DUE 11/01/38	B	Interest			Redeemed	05/01/19	K		
15. THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29	B	Interest	L	T					
16. N.Y. STATE CLN-DRNKNG WTR BOND 5% DUE 06/15/36	C	Interest	L	T					
17. NEW YORK ST G.O. SER E OID BOND 4% DUE 12/15/37	B	Interest	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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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)
18. HAVERSTRAW NY IMPT BOND 3.50% DUE 03/01/35	B	Interest	L	T					
19. N.Y. STATE G.O. SER A OID BOND 3.125% DUE 03/15/34	A	Interest	K	T					
20. N.Y. STATE URBAN DEV BOND 3.25% DUE 03/15/33	B	Interest	L	T					
21. N.Y. STATE URBAN DEV BOND 4% DUE 03/15/2048	B	Interest	L	T	Buy	02/13/19	L		
22. TRIBOR. BRIDGE & TUNNEL BOND 3.00% DUE 11/15/35	C	Interest	L	T					
23. NEW YORK NY CITY TRA REV BOND 3.00% DUE 02/01/37	B	Interest	L	T					
24. METROPOLITAN TRANS AUTH NY REV BOND 4.00% DUE 11/15/38	B	Interest	L	T					
25. TRIBORO BRIDGE & TUNNEL BOND 4.00% DUE 11/15/42	B	Interest	L	T					
26. NEW YORK NY CITY TFA REV BOND 4.00% DUE 02/01/44	B	Interest	L	T					
27. HUDSON YD INFA NY BOND 4.00% DUE 02/15/44 CALL DATE 02/15/17	B	Interest	L	T					
28. HUDSON YD INFA NY BOND 4.00% DUE 02/15/44	B	Interest	L	T					
29. NEW YORK NY CITY TFA REV BOND 4.00% DUE 05/01/44	B	Interest	L	T					
30. NY ST DORM AUTH SALES TAX REV SER A BOND 4.00% DUE 03/15/45	B	Interest	L	T					
31. NEW YORK ST TWY AUTH GEN REV SER A BOND 5.00% DUE 01/01/46	B	Interest	L	T					
32. NY ST DORM AUTH SALES TAX REV SER A BOND 4.00% DUE 03/15/47	B	Interest	L	T					
33. NEW YORK NY MUN WFA WTR-SS REV WTR EE	B	Interest	L	T					
34. CITIBANK CHECKING ACCOUNT - N.Y.,N.Y.		None	J	T					

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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)
35. MERRILL LYNCH (IRA ROLLOVER) - ML BANK CASH ACCOUNT	A	Interest	L	T	Buy (add'l)	12/31/19	J		Net Increase to MM Fund
36. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP. APPREC. FUND CL Z	E	Dividend	N	T	Sold (part)	02/13/19	M	E	
37. MERRILL LYNCH (IRA ROLLOVER) - MFS VALUE FUND CL I	C	Dividend	M	T					
38. MERRILL LYNCH (IRA ROLLOVER)- OPPENHEIMER DEV. MKTS FUND CL Y	C	Dividend	M	T					
39. MERRILL LYNCH (IRA ROLLOVER)- FED. KAUFMAN LRG CAP FUND CL IS	D	Dividend	M	T					
40. MERRILL LYNCH (IRA ROLLOVER)- ISHARES RUSSELL 1000 FUND	D	Dividend	N	T	Sold (part)	02/14/19	L	E	
41. MERRILL LYNCH (IRA ROLLOVER)- U.S. TREASURY BILL 0% DUE 03/26/2020		None	L	T	Buy	03/27/19	L		
42. MERRILL LYNCH (IRA ROLLOVER)- PRUDENTIAL SHORT TERM CORP. BOND FUND Z	C	Dividend	M	T	Buy (add'l)	02/13/19	K		
43. MERRILL LYNCH (IRA ROLLOVER)- AIG FOCUSED DIV. STRATEGY FUND CL W	E	Dividend	M	T					
44. MERRILL LYNCH (IRA ROLLOVER)- ISHARES CORE S&P 500 EFT	D	Dividend	N	T	Sold (part)	02/14/19	L	D	
45. MERRILL LYNCH (IRA ROLLOVER)- VANGUARD TOTAL STOCK MARKET ETF	C	Dividend	M	T					
46. MERRILL LYNCH (IRA ROLLOVER)- ATT BOND 3% DUE 06/30/22	C	Interest	M	T					
47. MERRILL LYNCH (IRA ROLLOVER)- VERIZON BOND 4.272% DUE 01/15/36	C	Interest	M	T					
48. MERRILL LYNCH (IRA ROLLOVER)- ATT BOND 4.5% DUE 05/15/35	B	Interest	L	T					
49. MERRILL LYNCH (IRA ROLLOVER)- ISHARES MSCI EAFE	B	Dividend	K	T					

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50. MERRILL LYNCH(IRA ROLLOVER)- ISHARES TR RUSSELL 2000	A	Dividend	L	T					
51. MERRILL LYNCH(IRA ROLLOVER)- PIMCO INCOME FUND	D	Dividend	M	T	Buy	02/14/19	M		
52. Mr. & Mrs.MICHAEL NAYLOR, PERSONAL LOAN		None	K	T					
53. MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS)	A	Interest	J	T	Sold (part)	12/31/19	M		Net Decrease to MM Fund
54. ALTRIA GROUP INC (COMMON)	D	Dividend	M	T					
55. AMN ELEC POWER CO. (COMMON)	B	Dividend	K	T					
56. AT&T (COMMON)	C	Dividend	L	T	Buy (add'l)	01/24/19	K		
57. BP PLC SPON ADR (COMMON)	A	Dividend	J	T					
58. CALIFORNIA RESOURCES CORP. (COMMON)		None	J	T					
59. CHEVRON CORP (COMMON)	A	Dividend	J	T					
60. CONSOLIDATED EDISON INC. (COMMON)	A	Dividend	J	T					
61. DAIMLER A (COMMON)	A	Dividend	J	T					
62. DOMINION RESOURCES INC. (COMMON)	C	Dividend	L	T					
63. DUKE ENERGY CORP. (COMMON)	A	Dividend	J	T					
64. EDISON INT'L CALIF (COMMON)	A	Dividend	J	T					
65. EXELON CORP. (COMMON)	A	Dividend	J	T					
66. EXXON MOBIL CORP. (COMMON)	B	Dividend	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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67. GENERAL ELECTRIC (COMMON)	A	Dividend	J	T					
68. HERSHEY CO. (COMMON)	B	Dividend	L	T					
69. HESS CORP. (COMMON)	A	Dividend	K	T					
70. HONEYWELL INT'L INC. (COMMON)	A	Dividend	K	T					
71. THE KRAFT/HEINZ CO. (COMMON)	B	Dividend	K	T	Sold (part)	09/09/19	J		
72. MARATHON OIL CORP. (COMMON)	A	Dividend	J	T					
73. MONDELEZ INTERNATIONAL INC. (COMMON)	C	Dividend	M	T					
74. EVERSOURCE ENERGY (COMMON)	A	Dividend	J	T					
75. OCCIDENTAL PETROLEUM CORP. CAL (COMMON)	A	Dividend	J	T					
76. PHILIP MORRIS INT'L INC. (COMMON)	E	Dividend	N	T					
77. PUBLIC SERVICE ENTERPRISE GROUP (COMMON)	C	Dividend	L	T					
78. ROCKWELL AUTOMATION INC. (COMMON)	B	Dividend	L	T					
79. UNITED TECHS CORP (COMMON)	A	Dividend	K	T					
80. SOUTHERN COMPANY (COMMON)	A	Dividend	K	T					
81. ENBRIDGE INC. (COMMON)	B	Dividend	K	T					
82. VERIZON COMM. (COMMON)	C	Dividend	L	T					
83. DEUTSCHE NY TAX FREE INCOME FUND CL A (MUTUAL FUND)	A	Dividend	J	T					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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84. ISHARES RUSSELL 1000 FUND (MUTUAL FUND)	B	Dividend	M	T					
85. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND)	A	Dividend	J	T					
86. WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)	A	Dividend	J	T					
87. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND C (MUTUAL FUND)	B	Dividend	L	T					
88. WABTEC (COMMON)	A	Dividend	J	T	Spinoff (from line 67)	03/01/19	J		
89. ISHARES CORE S&P 500 ETF (MUTUAL FUND)	A	Dividend	K	T	Buy	01/15/19	K		

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(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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ John G. Koeltl**

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