

**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) Abrams, Ronnie	2. Court or Organization Southern District of New York	3. Date of Report 07/31/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active Status	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 40 Foley Square New York, NY 10007-1312		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☒ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
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.		
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	Davis Polk & Wardwell LLP - K1
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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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. Andres Family Partnership	E	Int./Div.	N	U					
2. Rosbur Corporation	D	Dividend	M	T					
3. Citibank Cash Accounts	A	Interest	P1	T					
4. Brokerage Accounts (H)									
5. Morgan Stanley - MMA - Cash	A	Interest	J	T					
6. Delaware Diversified Income Fund	A	Dividend	J	T					
7. Cullen International High Dividend Fund - Institutional Class	D	Dividend	M	T	Sold (part)	04/16/19	J	A	
8. Lord Abbett Intermediate Tax Free Fund - Class F	D	Dividend	N	T	Buy (add'l)	11/06/19	L		
9. Lord Abbett Growth Leaders Fund	C	Dividend	L	T					
10. Lord Abbett Affiliated Fund	D	Dividend	M	T	Sold (part)	1/28/19	J	A	
11.					Sold (part)	07/24/19	J	A	
12. Pimco Income P	D	Dividend	M	T					
13. Guggenheim Macro Opport I	C	Dividend	M	T	Sold (part)	3/11/19	K	A	
14.					Sold (part)	04/22/19	K	A	
15.					Sold (part)	09/24/19	J	A	
16. Delaware Value Instl	D	Dividend	M	T					
17. Doubleline Total Return	D	Dividend	M	T	Sold (part)	03/11/19	K	A	

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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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)
18.					Sold (part)	04/22/19	K	A	
19. Angel Oak Multi Strat	D	Dividend	M	T	Sold (part)	01/29/19	K	A	
20.					Sold (part)	03/11/19	K	A	
21.					Sold (part)	04/22/19	K	A	
22. Putnam Diversified Inc TR	B	Dividend	K	T	Sold (part)	01/29/19	L	A	
23.					Sold (part)	03/11/19	K	A	
24.					Sold (part)	04/22/19	K	A	
25. Lord Abbett Flt Rt	D	Dividend			Sold (part)	01/07/19	K	A	
26.					Sold (part)	4/16/19	J	A	
27.					Sold (part)	04/22/19	K	A	
28.					Sold	9/24/19	M	A	
29. Cullen Emerging Mkts High Div	A	Dividend	J	T					
30. PGIM Jennison Growth Fund	D	Dividend	M	T					
31. MSIF Ultra-Short Income Fund	B	Dividend	M	T	Buy (add'l)	11/05/19	M		
32. Goldman Sachs Dynmc Muni	A	Dividend	M	T	Buy	11/06/19	M		
33. IRA # 1 (H)									
34. Morgan Stanley - MMA - Cash	A	Interest	J	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)	(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. Cullen International High Dividend Fund - Institutional Class	C	Dividend	M	T	Sold (part)	10/31/19	J	A	
36. Wells Fargo Advantage Emerging Markets Equity Fund - Class I	A	Dividend	K	T					
37. Pimco Total Return Fund - Class P	C	Dividend	L	T	Sold (part)	10/29/19	L	A	
38. Angel Oak Multi Strategy Income	B	Dividend	K	T					
39. EV Income Fund of Boston I	A	Dividend	J	T					
40. Harbor Cap Appreciation	E	Dividend	M	T					
41. Delaware Value Instl	D	Dividend	M	T	Sold (part)	01/30/19	J	A	
42.					Sold (part)	07/26/19	J	A	
43. Lord Abbett FLT RT	A	Dividend			Sold (part)	01/29/19	J	A	
44.					Sold (part)	04/18/19	J	A	
45.					Sold	10/29/19	J	A	
46. Doubleline Total Return I	B	Dividend	L	T					
47. Harding Loevner Intl Eqty	A	Dividend	L	T					
48. Principal SM MDCP Div Inc I	C	Dividend	M	T	Sold (part)	07/26/19	J	A	
49. Principal SPC PRF&CP Sec	A	Dividend	L	T	Buy	10/31/19	L		
50. Inherited IRA (H)									
51. Morgan Stanley - MMA - Cash	A	Interest	J	T					

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52. Cullen International High Dividend Fund - Institutional Class	A	Dividend	J	T					
53. EV Income Fund of Boston I	A	Dividend	J	T					
54. Harbor Cap Appreciation Inst	D	Dividend	L	T					
55. Lord Abbett FLT RT F	B	Dividend			Sold (part)	01/30/19	J	A	
56.					Sold (part)	07/26/19	J	A	
57.					Sold (part)	09/09/19	J	A	
58.					Sold	10/29/19	K	A	
59. Principal SPC PRF&CP Sec	A	Dividend	K	T	Buy	10/31/19	K		
60. NYS 529 College Savings Plans - Managed by Vanguard (H)									
61. Developed Market Index	A	Int./Div.	K	T					
62. Growth Stock Index Portfolio	A	Int./Div.	K	T					
63. Value Stock Index Portfolio	A	Int./Div.	K	T					
64. Small Cap Stock Index	A	Int./Div.	J	T					
65. Trusts (H) - Beneficiaries									
66. MSIF Ultra-Short Income Fund	A	Int./Div.			Sold	05/17/19	L	A	
67. IShares MSCI Eafe	B	Int./Div.	L	T	Buy	05/22/19	K		
68.					Buy (add'l)	11/07/19	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
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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)
69. Ishares MSCI Emerging Mkts	A	Int./Div.	K	T	Buy	05/22/19	J		
70.					Buy (add'l)	11/07/19	J		
71. SPDR S&P 500 ETF	A	Int./Div.	M	T	Buy	05/22/19	L		
72.					Buy (add'l)	11/07/19	L		
73.									
74.									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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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/ Ronnie Abrams**

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