

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) Gold, Steven M.	2. Court or Organization U.S. District Court EDNY	3. Date of Report 05/25/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate 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 U.S. District Court 225 Cadman Plaza East Chambers 1217S Brooklyn, New York 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. P/time Adjunct Prof. of Law	Brooklyn Law School
2. Board Member	☐ Treasurer ☐
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. 12/4/19	JAMS - to commence employment some time between October 2020 and Janaury 2021, after I retire. This has been reported to the AO pursuant to the Stock Act.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Gold, Steven M.

Date of Report

05/25/2020

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	Salary/Adj Prof of Law/Brooklyn Law School	\$17,015.52
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/Executive Director, [REDACTED]
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
Gold, Steven M.	05/25/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Gold, Steven M.

Date of Report

05/25/2020

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 CHECKING	A	Interest	J	T					
2. CHASE PLUS SAVING	A	Interest	J	T					
3. CHASE DYNAMIC YIELD STRAT.									
4. -SIT Dividend Growth	A	Int./Div.			Sold	01/18/19	J	A	
5. -Cohen & Steers Pref's Sec & Inc	B	Int./Div.	K	T	Buy (add'l)	01/15/19	J		
6.					Buy (add'l)	04/16/19	J		
7. Matthews Asia Divided	A	Int./Div.	J	T	Sold (part)	05/16/19	J	A	
8.					Sold (part)	07/15/19	J	A	
9.					Buy (add'l)	11/07/19	J		
10. Blackrock High Yield Bond	A	Int./Div.	J	T	Sold (part)	05/30/19	J	A	
11. - Doubleline Total Return	B	Int./Div.	K	T	Buy (add'l)	01/03/19	J		
12.					Sold (part)	03/18/19	J	A	
13.					Sold (part)	08/28/19	J	A	
14. TRP Inst Floating Rate	A	Int./Div.	J	T	Sold (part)	01/11/19	J	A	
15. -Metropolitan West Funds	B	Int./Div.	K	T	Buy (add'l)	08/28/19	J		
16.					Buy (add'l)	10/15/19	J		
17. Lord Abbett Invt Tr	A	Int./Div.	J	T	Sold (part)	05/15/19	J	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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Gold, Steven M.

Date of Report

05/25/2020

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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 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)	09/16/19	J	A	
19.					Sold (part)	10/25/19	J	A	
20.					Sold (part)	12/16/19	J	A	
21. Credit Suisse Floatig Rate High Inc	A	Int./Div.			Sold (part)	01/09/19	J	A	
22.					Sold (part)	01/11/19	J	A	
23.					Sold (part)	02/05/19	J	A	
24.					Sold (part)	02/06/19	J	A	
25.					Sold (part)	11/13/19	J	A	
26.					Sold	11/19/19	J	A	
27. Federated Inst Hi Yld Bond	A	Int./Div.	J	T	Sold (part)	12/16/19	J	A	
28. Nuveen Invt Tr V Pfd Secs Cl R	A	Int./Div.	J	T					
29. American Beacon GLG TR	A	Int./Div.			Sold (part)	06/18/19	J	A	
30.					Sold	10/29/19	J	A	
31. John Hancock II Str Inc I	A	Interest	J	T	Sold (part)	05/24/19	J	A	
32.					Sold (part)	12/16/19	J	A	
33. Pimco Mortgage Opportunities	A	Int./Div.	J	T	Buy (add'l)	06/18/19	J		
34.					Buy (add'l)	06/19/19	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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Gold, Steven M.

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35.					Buy (add'l)	09/16/19	J		
36. Muzinch Low Durat- Supr Inst	A	Int./Div.	J	T	Buy (add'l)	07/05/19	J		
37. Metropolitan West t/r	A	Int./Div.	K	T	Buy (add'l)	05/15/19	J		
38.					Buy (add'l)	05/24/19	J		
39.					Buy (add'l)	06/18/19	J		
40. Voya Floating Rate	A	Int./Div.			Sold (part)	01/11/19	J	A	
41.					Sold (part)	10/11/19	J	A	
42.					Sold	10/18/19	J	A	
43. MFS Ser Tr III Muni	A	Int./Div.	J	T	Buy (add'l)	06/18/19	J		
44. MFS Municipal High	A	Int./Div.	J	T	Buy (add'l)	06/19/19	J		
45. Pimco Short Term FD Instl	A	Int./Div.			Sold (part)	06/18/19	J	A	
46.					Sold	06/19/19	J	A	
47. Vanguard Div Appr	A	Int./Div.	J	T	Sold (part)	03/01/19	J	A	
48.					Buy (add'l)	10/08/19	J		
49.					Buy (add'l)	10/16/19	J		
50.					Buy (add'l)	12/17/19	J		
51. Pimco Dynamic Bond	A	Int./Div.	J	T	Buy (add'l)	02/28/19	J		

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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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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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Gold, Steven M.

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52. SPDR S&P Dividend	A	Int./Div.			Sold (part)	03/22/19	J	A	
53.					Sold (part)	05/10/19	J	A	
54.					Sold (part)	08/07/19	J	A	
55.					Sold	10/08/19	J	A	
56. Mainstay McKay High Yield	A	Int./Div.	J	T	Buy	01/11/19	J		
57.					Buy (add'l)	02/05/19	J		
58.					Buy (add'l)	02/28/19	J		
59.					Buy (add'l)	11/13/19	J		
60.					Buy (add'l)	11/20/19	J		
61. Hartford Mut Funds Core Equity	B	Int./Div.	K	T	Buy	01/17/19	J		
62.					Buy (add'l)	03/21/19	J		
63.					Buy (add'l)	05/09/19	J		
64.					Buy (add'l)	05/16/19	J		
65.					Buy (add'l)	07/15/19	J		
66. Ishares Short Term Corp Bond	A	Int./Div.	J	T	Buy	06/18/19	J		
67.					Buy (add'l)	06/19/19	J		
68.					Buy (add'l)	06/20/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Gold, Steven M.

Date of Report

05/25/2020

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69.					Buy (add'l)	10/15/19	J		
70. Fidelity Real Est Inc	A	Int./Div.	J	T	Buy	10/18/19	J		
71.					Buy (add'l)	11/04/19	J		
72. Ishares Treasury Bond	A	Int./Div.	J	T	Buy	10/30/19	J		
73.					Buy (add'l)	11/14/19	J		
74.					Buy (add'l)	11/20/19	J		
75. Pear Tree Polaris Foreign Val	A	Int./Div.	J	T	Buy	12/16/19	J		
76. VANGUARD HEALTHCARE FUND IRA	E	Dividend	L	T					
77. T ROWE PRICE RTMNT. PLAN									
78. - T Rowe Price Personal Strategy(renamed Spectrum) Fund 403(b)	E	Dividend	M	T					
79. - T Rowe Price Health Sciences Fund 403(b)	E	Dividend	M	T					
80. - T Rowe Price Prime Reserve(renamed Govt) Fund 403(b)	A	Dividend	K	T					
81. REFORM PENSION BOARD 403(b)									
82. -Ref. Pens Bd. Apprecn &Inc. Fund 403(b)	F	Int./Div.	N	T	Buy (add'l)	01/01/19	K		
83. -Reform Jewish Values Fund	D	Int./Div.	K	T	Buy (add'l)	01/01/19	J		
84. UBS WEALTH MNGMNT ACCT									
85. Vanguard S&P 500 X	B	Dividend	L	T					

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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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
86. Three Certificates of Deposit X	A	Interest	K	T	Redeemed (part)	10/18/19	J	A	
87. Cash	B	Int./Div.	M	T					
88.									
89.									
90.									
91.									
92.									
93.									

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Gold, Steven M.

Date of Report

05/25/2020

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

1) Part VII, Lines 3, 77, 81, and 84 are headers.

2) The acquisitions for the Reform Pension Board accounts reported on Lines 81-83 are stated in this report as having been made on January 1, 2019, as a matter of convenience only; the acquisitions were in fact made on multiple occasions throughout the year as part of [REDACTED] employer contributions and payroll deductions. The precise dates are irregular and not readily available to me.

3) The UBS Wealth Management account reported on Lines 84-87 was in fact opened in 2017 but was not reported on my prior reports. The account was opened for [REDACTED] by [REDACTED] and for that reason escaped my notice until this year, when [REDACTED] passed away. I have reported it this year as accurately as the information on line permits.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Gold, Steven M.

Date of Report

05/25/2020

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 M. Gold**

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