

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Dearie, Raymond J.	2. Court or Organization Eastern District of New York	3. Date of Report 08/05/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse Room 910 225 Cadman Plaza East Brooklyn, NY 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. _____	_____
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. _____	_____

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dearie, Raymond J.

Date of Report

08/05/2019

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2018

Appellate Division, Second Judicial Department, Brooklyn, NY

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

Name of Person Reporting	Date of Report
Dearie, Raymond J.	08/05/2019

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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08/05/2019

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 Checking and Savings	A	Interest	M	T					
2. Citibank IRS Money Market AIC	A	Interest	J	T					
3. I.R.E.B. Federal Credit Union - Regular Shares	A	Interest	K	T					
4. USAA Checking and Savings (X)	A	Interest	J	T					
5. First National Bank of St. Louis (X)	A	Interest	J	T					
6. Municipal Credit Union (X)	A	Interest	J	T					
7. Apple common stock	A	Dividend	J	T	Buy (add'l)	02/15/18	J		
8. Berkshire Hathaway Inc.(X) common stock	A	Dividend	K	T					
9. Chevron Corp comon stock	A	Dividend	J	T	Buy (add'l)	03/12/18	J		
10. Duke Energy common stock	A	Int./Div.	J	T	Buy (add'l)	03/16/18	J		
11. General Mills common stock	A	Int./Div.	J	T	Buy (add'l)	02/01/18	J		
12. McCormick & Company common stock	A	Int./Div.	J	T	Buy (add'l)	01/16/18	J		
13. Nike common stock	A	Dividend	J	T	Buy (add'l)	01/02/18	J		
14. Simon Property Group common stock	A	Int./Div.	J	T	Buy (add'l)	02/28/18	J		
15. Starbucks common stock	A	Int./Div.	J	T	Buy (add'l)	01/23/18	J		
16. Union Pacific common stock	A	Int./Div.	J	T	Buy (add'l)	04/02/18	J		
17. Walt Disney common stock	A	Int./Div.	J	T	Buy (add'l)	01/11/18	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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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.)

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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. MFS Global Equity Fund CL A	A	Int./Div.	J	T	Buy (add'l)	06/26/18	J		
19. Federated Muni & Stock ADV F	A	Int./Div.	J	T	Sold (part)	11/28/18	J	A	
20. JP Morgan Chase	A	Int./Div.	J	T					
21. Edward Jones Investment - Act (H)									
22. Bridge Builder Bond Fund	A	Int./Div.	J	T					
23. Bridge Builder Core Plus Bond Assoc.	A	Int./Div.	J	T					
24. Columbia Small Cap Value I	A	Int./Div.	J	T					
25. Dimensional DFA Int'l Value Fund	A	Int./Div.	J	T					
26. Dodge & Cox Stock	A	Int./Div.	J	T					
27. Europacific Growth	A	Int./Div.	J	T					
28. Franklin Mutual Shares	A	Int./Div.	J	T					
29. Ironbridge Smid Cap	A	Int./Div.	J	T					
30. Jh Disciplined Value Mid Cap	A	Int./Div.	J	T					
31. JP Morgan Fed Mon Mkt	A	Int./Div.	J	T					
32. MFS Int'l Value	A	Int./Div.	J	T					
33. Pimco Total Return IV (X)	A	Int./Div.	J	T					
34. Prudential High Yield	A	Int./Div.	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	

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)	(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. Prudential Jenn Mid Cap GR	A	Int./Div.	J	T					
36. T. Rowe Price Instl Lrge Cp G (X)R	B	Int./Div.	J	T					
37. T. Rowe Price Int'l Stock (X)	A	Int./Div.	J	T					
38. Victory Small Company Opport	A	Int./Div.	J	T					
39. Edward Jones Act. 2 - Roth IRA (X) (H)									
40. AFS Int'l Growth Fund CL I	A	Int./Div.	J	T					
41. Bridge Builder Bond Fund	A	Int./Div.	J	T					
42. Cba Aggressive Growht I	A	Int./Div.	J	T					
43. Columbia Acorn Int'l	A	Int./Div.	J	T					
44. Dimensional Int'l Small Co. Fund	A	Int./Div.	J	T					
45. Dodge & Cox Stock	A	Int./Div.	J	T					
46. Franklin Mutual Shares CI Z	A	Int./Div.	J	T					
47. Fundamental Investors	A	Int./Div.	J	T					
48. Harbor Capital Appreciation	A	Int./Div.	J	T					
49. Invesco Cornstock	A	Int./Div.	J	T					
50. JP Morgan Fed Mon Mkt	A	Int./Div.	J	T					
51. JP Morgan High Yield	A	Int./Div.	K	T					

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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Name of Person Reporting

Dearie, Raymond J.

Date of Report

08/05/2019

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				
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52. JP Morgan Mid Cap Value Instl	A	Int./Div.	K	T					
53. JP Morgan US Gov't Money Market Fund	A	Int./Div.	J	T					
54. Loomis Sayles INV Grade BD	A	Int./Div.	J	T					
55. Metropolitan West Ttl Red Bd	A	Int./Div.	J	T					
56. MFS International Value	A	Int./Div.	J	T					
57. MFS Value	A	Int./Div.	J	T					
58. Pimco Total Return IV	A	Int./Div.	J	T					
59. Prudential High-Yield	A	Int./Div.	J	T					
60. T. Rowe Price Blue Ship Gr	A	Int./Div.	J	T					
61. T. Rowe Price Intl Bond	A	Int./Div.	J	T					
62. Edward Jones Act. 3 - Traditional IRA (X) (H)									
63. Bridge Builder Bond Fund	A	Int./Div.	J	T					
64. Bridge Builder Small Mid-Growth	A	Int./Div.	J	T					
65. Bridge Builder Small Mid-Value	A	Int./Div.	J	T					
66. Bridge Builder Intl Equity	A	Int./Div.	J	T					
67. Dodge & Cox Stock	A	Int./Div.	J	T					
68. Fundamental Investors	A	Int./Div.	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
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69. Harbor Capital Appreciation	A	Int./Div.	J	T					
70. Invesco Cornstock	A	Int./Div.	J	T					
71. JP Morgan Fed Mon Mkt	A	Int./Div.	J	T					
72. JP Morgan High Yield	A	Int./Div.	J	T					
73. JP Morgan Mid Cap Value	A	Int./Div.	J	T					
74. Loomis Sayles Inv Grade Bd	A	Int./Div.	J	T					
75. Metropolitan West Ttl Ret Bd	A	Int./Div.	J	T					
76. MFS Value	A	Int./Div.	J	T					
77. Pimco Total Return IV	A	Int./Div.	J	T					
78. Prudential Jenn Mid Cap Gr	A	Int./Div.	J	T					
79. Ranier Small/Mid Cap Eq Instl	A	Int./Div.	J	T					
80. Scout Int'l	A	Int./Div.	J	T					
81. T. Rowe Price Blue Chip Gr	A	Int./Div.	J	T					
82. T. Rowe Price Intl Bd	A	Int./Div.	J	T					
83. T. Rowe Price Intl Stock	A	Int./Div.	J	T					
84. Federate Municipal & Stock Advantage Fund	A	Int./Div.	J	T					
85. Rollover IRA (H) Mutual Funds									

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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86. Blackrock Large Cap Value Fund	A	Int./Div.	L	T	Sold (part)	12/31/18	J		
87. JP Morgan Large Cap Growth	A	Int./Div.	K	T	Sold (part)	12/26/18	J		
88. Newberger Berman Mid Cap Growth	A	Interest	J	T	Sold (part)	12/31/18	J		
89. Newberger Int'l Equity Fund	A	Int./Div.	K	T	Sold (part)	12/31/18	J		
90. Clearbridge Small Cap Grw Cl A	A	Int./Div.	J	T	Sold (part)	12/26/18	J		
91. Prudential Jennison Int'l Fund	A	Int./Div.	K	T	Sold (part)	12/26/18	J		
92. Prudential QMA Small Cap Value	A	Int./Div.	J	T					
93. Victory Integrity Mid Cap Value	A	Int./Div.	K	T					
94. Prudential Equities Individual Account (H)									
95. Annaly Cap Mgmt. Inc.	A	Int./Div.	J	T	Buy (add'l)	05/02/18	J		
96. Apple Inc.	A	Int./Div.	J	T					
97. Berkshire Hathway Inc.	A	Int./Div.	J	T	Buy (add'l)	05/02/18	J		
98. Calamos High Income Fund	A	Int./Div.	J	T					
99. Celgene Corp.	A	Int./Div.	J	T	Buy (add'l)	04/19/18	J		
100. Gilead Sciences Inc.	A	Int./Div.	J	T					
101. Harmon Int'l Industries Inc.	A	Int./Div.	J	T					
102. Henry Jack & Assoc.	A	Int./Div.	J	T	Buy	05/02/18	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
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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. Mastercard Inc.	A	Int./Div.	J	T	Buy	4/19/18	J		
104. Samsung Elec.	A	Int./Div.	J	T					
105. JP Morgan Chase & Co.	A	Dividend	J	T					
106. KKR & Co.	A	Dividend	J	T					
107. Newberger Berman	A	Dividend	J	T					
108. Stryker Corp	A	Int./Div.	J	T					
109. TJX Cos Inc.	A	Dividend	J	T					
110. iShares MSCI EAGE Index Fund	A	Dividend	J	T					
111. SPDR Five Hundred	A	Int./Div.	J	T					
112. Vanguard Whitehall Funds	A	Dividend	J	T					
113. Starwood Property Inc.	A	Dividend	J	T					

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

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D =\$5,001 - \$15,000

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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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Name of Person Reporting

Dearie, Raymond J.

Date of Report

08/05/2019

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/ **Raymond J. Dearie**

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
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