

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) Locke, Steven I.	2. Court or Organization District Court, Eastern District of New York	3. Date of Report 05/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2019 to 12/31/2019
5b. ☐ Amended Report		
7. Chambers or Office Address 100 Federal Plaza Room 824 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. Adjunct Professor	St. Johns University
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. 2019	St Johns University, Teaching	\$8,000.00
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. 2019	State of New York, Salary
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. Quicken Loans	Mortgage on [REDACTED]/rental property #1, Brooklyn, NY, Pt VII, [REDACTED]	O
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 Cash Accounts	A	Interest	K	T					
2. Hormel, Inc Common Stock	A	Dividend	J	T					
3. Brokerage Account #1 (H)									
4. -JPM US Treasury Plus Money Market Fund	A	Dividend	L	T					
5. -Apple Inc Common Stock	A	Dividend	J	T					
6. -Walt Disney Co Common Stock	A	Dividend	J	T					
7. -First Horizon Natl Corp Common Stock	A	Dividend	J	T	Sold (part)	12/23/19	J		
8. -International Business Machines Common Stock	B	Dividend	K	T					
9. -Macquarie Infrastructure Corp - Was Macquarie Infrastructure LLC	B	Dividend	K	T					
10. -Motorola Solutions Inc. Common Stock	A	Dividend	J	T					
11. -Microchip Technology Inc Common Stock	A	Distribution	J	T					
12. -Pfizer Inc Common Stock	A	Dividend	K	T					
13. -Terra Inventions Corp Common Stock		None	J	T					
14. -Teradyne Inc Common Stock	A	Dividend			Sold	07/25/19	K	D	
15. Brokerage Account #2(H)									
16. -Columbia Acorn Fund A	C	Dividend	K	T					
17. Brokerage Account #3 (H)									

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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18. -Apple, Inc	A	Dividend	J	T					
19. -Corning, Inc.	A	Dividend	J	T					
20. -Walt Disney Co	A	Dividend	J	T					
21. -International Business Machines Corp	A	Dividend	J	T					
22. -Pepsico	A	Dividend	K	T					
23. -Cash - JPMorgan Securities		None	J	T					
24. Brokerage Account #4 (H)									
25. -Apple, Inc	A	Dividend	J	T					
26. -Walt Disney Co	A	Dividend	J	T					
27. -Pepsico	A	Dividend	J	T					
28. -Cash - JPMorgan Securities		None	J	T					
29. Retirement Account #1 (H)									
30. -Dreyfus Ins Deposit Program I	A	Interest			Closed	08/19/19	K		
31. -AB Global Bod Fund Advisor Cl P Shares	A	Dividend	J	T					
32. -American Century Short Duration Inflation Protection Bnd Fd Inv Cl	A	Dividend	J	T					
33. -Baron Emerging Markets Fund Institutional Class	A	Dividend	K	T					
34. -Blackrock Floating Rate Income Portfolio Fund Institutional Class	A	Dividend	J	T					

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35. -Blackrock Strategic Income Oppt Portfolio Fd Inslt Cl	A	Dividend	J	T					
36. -Carillon Eagle Small Cap Growth Fund Cl I	A	Dividend	J	T					
37. -Cohen & Steers Real Estate Securities Fund Class I	A	Dividend	K	T					
38. -Federated Kaufmann Large Cap Fund Class IS	A	Dividend			Sold	08/22/19	K		
39. -Fidelity Advisor International Small Cap Fund Class I	A	Dividend	K	T					
40. -Hartford Core Equity Fund Class I	A	Dividend			Sold	06/04/19	K	D	
41. -The Oakmark Inernational Fund Inv Cl	A	Dividend	K	T					
42. -John Hancock Bond Fund Class I	A	Dividend	K	T					
43. -John Hancock Disciplined Value Mid Cap Fund Class I	A	Dividend	J	T					
44. -John Hancock Internatioanl Growth fund Class I	A	Dividend	K	T					
45. -New World Fund Class F-2	A	Dividend	K	T					
46. -Northern Small Cap Value Fund	A	Dividend			Sold	06/04/19	J		
47. -Principal Midcap Fund Institutional Class	A	Dividend	J	T					
48. -Pimco Income Fund Class I-2 Class Change from Class P	A	Dividend	K	T					
49. -Ishares Tr Core S&P 500 ETF	C	Dividend	L	T	Buy (add'l)	06/04/19	K		
50. -Ishares Tr Core S&P Mid-Cap ETF	A	Dividend	K	T					
51. -Ishares Tr Core S&P Small-Cap ETF	B	Dividend	K	T	Buy (add'l)	06/04/19	J		

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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)
52.					Buy (add'l)	08/22/19	J		
53. -Vanguard Developed Markets Index Fund Admiral Class	B	Dividend	L	T					
54. -Vanguard Intl Equity Index Fds Total World Stk Index Fd ETF	B	Dividend	K	T	Buy (add'l)	08/22/19	J		
55. -Vanguard REIT Index Fund Admiral Shares	A	Dividend	K	T					
56. -Vanguard Index Fds S&P 500	B	Dividend	M	T	Buy	08/22/19	M		
57. -NM FDIC Insured Deposit A?C	A	Dividend	K	T	Open	08/19/19	K		
58. Retirement Account #2 (H)									
59. -Dreyfus Ins Deposit Program I	A	Dividend			Closed	08/19/19	J		
60. -Alliance Bernstein Global Real Estate Investment Fd Cl A	A	Dividend	J	T					
61. -Europacific Growth Fund Class A	A	Dividend	J	T					
62. -The Growth Fund of America Class A	A	Dividend	J	T					
63. -MFS Value Fund Class A	A	Dividend	J	T					
64. -Invesco Oppenheimer Global Strategic Income Fund Class A	A	Dividend	J	T					Name Change
65. -Pimco Total Return Class A	A	Dividend	J	T					
66. -Small-Cap World Fund Class A	A	Dividend	J	T					
67. -Victory Integrity Small-Cap Value Fund	A	Dividend	J	T					
68. -Washington Mutual Investors Fund Class A	A	Dividend	J	T					

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69. NM FDIC INSURED DEPOSIT		None	J	T	Open	08/19/19	J		
70. College Fund #1 (H)									
71. -The Bond Fund of America -529A	A	Dividend	J	T					
72. -The Growth Fund of America - 529A	B	Dividend	J	T					
73. -The Income Fund of America - 529A	A	Dividend	J	T					
74. -New Perspective Fund - 529A	A	Dividend	J	T					
75. -Washington Mutual Investors Fund - 529A	A	Dividend	J	T					
76. College Fund #2 (H)									
77. -NYS 529 College Svgs Plan Moderate Age- Based Opt Conservative Growth		None	M	T			J		See Note 1, Part VIII
78. College Fund #3 (H)									
79. -NYS 529 College Svgs Plan Moderate Age- Based Opt Conservative Growth		None	M	T	Buy (add'l)	12/06/19	J		See Note 1, Part VIII
80. Rental Property #1, Brooklyn, NY	F	Rent	P1	R					See Note 2, Part VIII
81. AALS Partnership		None	L	R					See Not 3, Part VIII

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

Notes to Part VII.

Note 1. College Funds which do not report income as an item separate from change in value.

Note 2. Property was purchased in 2002 for \$1,335,000.

Note 3. Omitted from prior reports. Assets are investments in real estate in Los Angeles, CA made 5//16/16 Judge Locke & [REDACTED] own 50% of AALS

There are four properties as follows:

Arc Marathon LLC	AALS Interest
Galltin Curson LLC	4.26412%
Gallatin Manhattan LLC	1.9231%
Gallatin Vendome LLC	1.922932%
	1.923083%

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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/ Steven I. Locke**

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