

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) Peebles, David E.	2. Court or Organization U.S. District Court - NYND	3. Date of Report 06/18/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Recall Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/1/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court P.O. Box 7345 Syracuse, New York 13261-7345		
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. Founding Member	Albany Intellectual Property and Innovations American Inns of Court
2. Power of Attorney	██████████ (Mother)
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	Upstate Department of Medicine, Syracuse, New York - Salary
2. 2019	Research Foundation of SUNY, Albany, New York - Salary
3. 2019	Self-Employed Expert Consultant (Physician)
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Albany Intellectual Property and Innovations Americans Inns of Court	Honorary Membership (dues, like privileges)	\$400.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☐ NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	The Student Loan Corp. (Navient)	Student Loans	K
2.	Chase Bank	Credit Card	K
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. Summit Planning Group Acct. (H)									
2. - Vanguard Prime Money Mkt. Fund (VMMXX)	A	Interest			Sold	06/25/19	J	B	
3. - Vanguard Target Retirement 2020 (VTWNX)	B	Dividend	K	T					
4. - Vanguard Growth Index Fund (VIGAX)	A	Dividend	K	T					
5. - Vanguard 500 Index Fund (VFIAX)	B	Dividend	M	T					
6. - Vanguard Value Index Fund (VVIAX)	A	Dividend	K	T					
7. - CISCO Systems, Inc. (CSCO)	A	Dividend	J	T					
8. - Intel Corp. (INTC)	A	Dividend	K	T					
9. - Nokia Corp. (NOK)	A	Dividend	J	T					
10. - Transwitch Corp. (TXCCQ)	A	Dividend	J	T					
11. - Walgreen Boots Alliance Inc. (WBA) f/k/a Walgreen Co.	B	Dividend	L	T					
12. - Fidelity Select Portfolios Biotechnology Fund (FBIOX)	B	Dividend	K	T					
13. - Marsico Inv. Fund - Focus Fund (MFOCX)	B	Dividend	K	T					
14. - BlackRock Event-Driven Equity Funds				T	Buy	12/27/19	N		
15. - SPDR Gold Trust (GLD)				T	Buy	06/25/19	J		
16. - SPDR Gold Trust (GLD)				T	Buy	06/25/19	K		
17. - SPDR Gold Trust (GLD)				T	Buy	06/25/19	M		

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. - Nuveen Short-Duration High Yield Muni Fund (NVHIX)	B	Dividend		T	Buy	09/25/19	M		
19. - Nuveen Short-Duration High Yield Muni Fund (NVHIX)	B	Dividend		T	Buy	10/31/19	N		
20. - ProShares Short QQQ ETF (PSQ)	A	Dividend			Buy	06/25/19	J		
21. - ProShares Short QQQ ETF (PSQ)	A	Dividend			Buy	10/31/19	M		
22. - ProShares Short QQQ ETF (PSQ)					Sold	11/27/19	M		
23. - Invesco QQQ ETF (QQQ)	A	Dividend		T	Buy	11/27/19	N		
24. - ProShares Short Russell 2000 ETF (RWM)					Buy	10/31/19	M		
25. - ProShares Short Russell 2000 ETF (RWM)					Sold	11/27/19	M		
26. - ProShares Short S&P 500 ETF (SH)					Buy	10/31/19	O		
27. - ProShares Short S&P 500 ETF (SH)					Sold	12/05/19	N		
28. - iShares 1-3 Year Treasury Bond ETF (SHY)	C	Dividend		T	Buy	09/25/19	L		
29. - iShares 1-3 Year Treasury Bond ETF (SHY)	C	Dividend		T	Buy	10/31/19	O		
30. - Vanguard Wellesley Income Fund (VWIAIX)					Sold	05/13/19	K		
31. - Vanguard Total Stock Market Index Fund (VTSAX)				T	Buy	12/27/19	N		
32.									
33. Vanguard IRA	A	Interest	K	T					
34. Bank of America Accounts	A	Interest	L	T					

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35. Summit FCU Accounts	A	Interest	J	T					
36. Solvay Bank Accounts	A	Interest	M	T					
37. American Express Savings Acct.	B	Interest	M	T					
38. Marshe, LLC	A	Dividend	L	U					
39. Upstate Med. Univ. Dept. of Med. Profit Sharing	F	Dividend	P1	T					
40. Research Founda. of SUNY Retirem. Plan	E	Dividend	N	T					
41. Vanguard Total Stock Mkt. Index Inv. (IRA)	A	Dividend	K	T					
42. Research Foundation of SUNY optional Ret. Savings Acct. (No Control)	E	Dividend	N	T					
43. NY 529 College Savings Program (Age Based) Aggressive Growth Portfolio	A	Dividend	J	T					
44. NY 529 College Savings Program (Age Based) Aggressive Growth Portfolio	A	Dividend	J	T					
45. Morgan Stanley Brokerage Acct. (H)									
46. - Verizon Communications (VZ)	A	Dividend	J	T					
47. - The Financial Sel Sect. SPDR FD (XLF)	A	Dividend	J	T					
48. - Public Storage 6%-Z (PSA.Z)	A	Dividend			Sold	06/27/19	J	B	
49. - Nextera Energy Inc. (NEE)	A	Dividend	J	T					
50. - Merck & Co. New Com. (MRK)	A	Dividend			Sold (part)	02/14/19	J	B	
51. - Merck & Co. New Com. (MRK)	A	Dividend	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)
52. - Ishares US Aerospace & DEF EFT (ITA)	A	Dividend	J	T					
53. - Home Depot Inc. (HD)	A	Dividend	J	T					
54. - Crown Castle Int'l Corp. (CCI)	A	Dividend	J	T					
55. - CISCO Sys. Inc. (CSCO)	A	Dividend			Sold	02/14/19	J	B	
56. - Anheuser Busch Inbev SA Spon (BUD)	A	Dividend	J	T					
57. - Amgen Inc. (AMGN)	A	Dividend	J	T					
58. - Morgan Stanley Private Bank NA	A	Interest	J	T					
59. Morgan Stanley IRA (H)									
60. - Morgan Stanley Bank NA	A	Interest	L	T					
61. - Bank of America Corp. (BAC-A)	A	Dividend	K	T	Buy	11/07/19	K		
62. - Metlife Inc. 5.62% NCUMPF D E (Met.E)	A	Dividend	J	T	Buy	12/18/19	J		
63. - Truist F. Corp. Dep Rp PFDH (TFC.H)	A	Dividend	J	T	Buy	11/07/19	J		
64. - Prudential Financial Ins. 5.625% (PRS)	B	Dividend	K	T	Buy	12/02/19	K		
65. -AT&T inc. 5.625% (TBC)	B	Dividend	K	T	Buy	12/02/19	K		
66. - Nextera Energy Capital Holdings 5.25% - K (NEE.K)	A	Dividend	K	T	Buy	11/07/19	J		
67. - Nextera Energy Capital Holdings 5.25% - K (NEE.K)	A	Dividend		T	Buy (add'l)	12/02/19	J		
68. - Dominion Energy Inc. 5.25% (DRUA)	A	Dividend	K	T	Buy	12/18/19	K		

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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. - DTE Energy Co. SER E 5.25% (DTW)	A	Dividend	K	T	Buy	12/18/19	K		
70. - Duke Energy Corp. 5.62% (DUKB)	A	Dividend	K	T	Buy	11/17/19	K		
71. - Duke Energy Corp. 5.62% (DUKB)	A	Dividend		T	Buy (add'l)	12/02/19	J		
72. - CMS Energy Corp. 5.875% (CMSC)	A	Dividend	K	T	Buy	12/02/19	K		
73. - MSIF Ultra-Short Income A Mutual Fund (MUAIX)	A	Dividend	M	T	Buy	09/29/19	M		

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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/ **David E. Peebles**

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