

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) Stein, Sidney H.	2. Court or Organization U.S. District Court	3. Date of Report 8/13/20
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Courthouse 500 Pearl Street New York, New York 10007-1312		
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. 8-11 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member, Board of Directors	Greater New York Councils, Boy Scouts of America
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 12-14 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. 15-20 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.	
2.	
3.	
4.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 21-23 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. CEELI Institute	4/15/19-4/24/19	Bhopal, India	Working with Indian judges on conducting trials	Transportation, meals, lodging
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 24-27 of filing instructions.)*☒NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 28-29 of filing instructions.)*☒NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 30-47 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)

1. MONEY MARKETS									
2. DREYFUS TAX FREE NY	B	Interest	J	T					
3. JP MORGAN BANK SWEEP	A	Interest	J	T					
4. TAX EXEMPT BONDS									
5. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
6. NEW YORK ST MTG AGY REV HOMETOWN MTG-29-a-RMKT	C	Interest	M	T					
7. NY STATE POWER AUTH GEN REV ETMSERA	D	Interest	L	T					
8. NY STATE POWER AUTH REV & GEN PURP SCR DETM	A	Interest	K	T					
9. NYS STATE POWER AUTH SER G	A	Interest	K	T					
10. NEW YORK ST HSG FIN AGY GEN SER A	D	Interest	M	T					
11. NEW YORK STATE POWER AUTH	C	Interest	K	T					
12. NYS REF-SER C	C	Interest	M	T					
13. NYS LOC GOVT ASSISTANCE CORP	C	Interest			Sold	4/1/19	M		
14. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
15. NYS THWY SECOND GEN HIGHWAY SER A	A	Interest	K	T					
16. NYS ENVIRON FACS CORP	C	Interest	M	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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☐ 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)
17. NYC SER D	C	Interest	M	T					
18. NYC, NY DTD 10/23/2012 SER B	B	Interest	M	T					
19. NASSAU CTY SALES TAX -- SER A	c	Interest	M	T					
20. NYS THWY AUTH REF	C	Interest	L	T					
21. NYC NY HSG	C	Interest	L	T					
22. NYC NY TRA	C	Interest	L	T					
23. MONROE CTY NY INDL	D	Interest	M	T					
24. NJ ST ECON D	C	Interest	L	T					
25. MET TRANSPORTATION AUTH NY	B	Interest	L	T					
26. NYC DORM AUTH	C	Interest	L	T					
27. MIAMI DADE CTY FL SCH BD	B	Interest			Sold	8/26/19	L	A	
28. SUFFOLK CTY NY INTR	C	Interest	L	T					
29. HOUSTON TX UTILITY SYS	B	Interest			Sold	5/24/19	L		
30. TRIBOROUGH NY BRIDGE	C	Interest	L	T					
31. PORT AUTH NY	B	Interest			Sold	5/29/19	L	C	
32. ST LAWRENCE CTY NY	C	Interest	L	T					

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33. BAY AREA CA	A	Interest	K	T					
34. SUFFOLK CTY NY	C	Interest	M	T					
35. NYS DORM AUTH	B	Interest	L	T					
36. ARIZONA ST	B	Interest			Sold	4/8/19	L	A	
37. PENNSYLVANIA ST	B	Interest	L	T					
38. ISLIP NY	B	Interest			Sold	5/29/19	L	D	
39. NYC, NY	B	Interest	L	T					
40. BLACK BELT ENERGY GAS	B	Interest	L	T					
41. CALIFORNIA STATE	B	Interest			Sold	5/25/19	L	C	
42. NYC, NY	C	Interest	M	T					
43. NY STATE URBAN DEV	B	Interest	L	T					
44. NEW YORK STATE DORM	B	Interest	M	T					
45. HUDSON YARK INFAS	C	Interest			Sold	8/8/19	L	D	
46. NEW YORK STATE DORM	A	Interest			Sold	2/13/19	M	B	
47. NY STATE DORM	A	Interest	L	T	Buy	2/14/19	L		
48. NY STATE HOUSING	A	Interest	L	T	Buy	3/13/19	L		

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49. NYC TRANS	B	Interest	M	T	Buy	4/18/19	M		
50. WESTCHESTER CO NY	A	Interest	L	T	Buy	4/17/19	L		
51. MARYLAND ST	A	Interest	K	T	Buy	5/23/19	K		
52. UTILITY DEBT SEC	B	Interest	M	T	Buy	6/25/19	M		
53. ROCKLAND CTY NY	A	Interest	L	T	Buy	7/2/19	L		
54. BEXAR CTY TX	A	Interest	L	T	Buy	6/25/19	L		
55. BAY AREA CA	A	Interest	K	T	Buy	8/30/19	K		
56. NYC, NY	A	Interest	L	T	Buy	9/5/19	L		
57. N COUNTRY NY DEV		None	L	T	Buy	9/5/19	L		
58. NY STATE THWY	A	Interest	K	T	Buy	9/5/19	K		
59. PLATTSBURGH NY		None	K	T	Buy	12/9/19	K		
60. MUTUAL FUNDS									
61. GREYCOURT PARTNERS FUND (IRA)					Part Redemption	4/30/19	M		
62.	G	Dividend			Rolled Over	12/31/19	P-1		
63. GREYCOURT PARTNERS FUND	G	Dividend	P2	T					

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64. MISCELLANEOUS									
65. CASH, JPMORGAN CHASE	D	Interest	M	T					
66. ARBOR PPTY TRUST		None	K	T					
67. SERVICEMASTER LP		None	M	T					
68. Judge Stein is including only his information for year 2019	He and his wife are living separate and apart with the intention of terminating the marriage or providing for permanent separation.								

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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/ Sidney H. Stein

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 G-330
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Washington, D.C. 20544