

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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. Federal District Court	3. Date of Report 8/12/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.D.C. Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
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. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

- | | |
|--------------------------------|--|
| 1. Member - Board of Directors | Practicing Law Institute, a not for profit organization for continuing legal education |
| 2. Member - Board of Directors | Park Corporation, a not for profit cooperative housing corporation |
| 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. 2014	West Services, Inc. royalty for 2014	\$9,494.57
2. 2014	Yale University (teaching)	\$12,000.00
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. 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. International Criminal Court	9/18/14-9/22/14	The Hague, the Netherlands	Workshop with ICC Prosecutors	transportation, lodging and food
2. Association of the Bar of the City of New York	6/30/14-7/4/14	Belfast, Northern Ireland	Bar Association Mission	transportation, lodging and food
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. 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. MONEY MARKETS									
2. JPMORGAN U.S. GOVT.	A	Interest	M	T					
3. Dreyfus Tax Free NY	A	Interest	O	T					
4.									
5. COMMON STOCKS									
6. BERKSHIRE HATHAWAY CORP.		None	P1	T					
7. GRANT AVE CORP		None	P1	W					
8.									
9. TAX EXEMPT BONDS									
10. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
11. NEW YORK ST MTG AGY REV HOMETOWN MTG -29-a-RMKT	C	Interest	M	T					
12. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
13. NY State Power Auth Rev & Gen Purp Ser Detm	A	Interest	K	T					
14. NYS STATE POWER AUTH SER G	A	Interest	K	T					
15. NEW YORK ST HSG FIN AGY GEN SER A	D	Interest	M	T					
16. NEW YORK STATE POWER AUTH.	C	Interest	K	T					
17. N.Y.S. THRWY AUTH SER A	D	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 \$5,000,000	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 I (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. LONG ISLAND PWR GEN-SER D	C	Interest	M	T					
19. ERIE CTY NY IND DEV AGCY. SER. A	C	Interest	L	T					
20. NASSAU CTY NY DTD 7/8/2008 SER C	C	Interest	M	T					
21. NYS DORM SALES TAX SER A	C	Interest	L	T					
22. TRIBOROUGH BRDG & TUNL, UNREFUNDED SER D	B	Interest			Sold	5/7/14	L	D	
23. MINNEAPOLIS MINN HEALTH CARE	A	Interest	J	T					
24. NYS DORM AUTH, PERS. INCOME TAX REV	C	Interest			Sold	6/5/14	M	D	
25. ALLEGHENY CTY, PA. HOSP DEV AUTH REV	C	Interest	L	T					
26. NYC, NY SER D	D	Interest	M	T					
27. NYS DORM MT. SINAI SCH. OF MEDICINE	A	Interest	K	T					
28. MICHIGAN FIN. AUTH.	A	Interest			Sold	2/14/14	L	A	
29. TEX. ST. TRANS COMMN REV	C	Interest	M	T					
30. NYS REF - SER C	C	Interest	M	T					
31. PA ST. SECOND REF	D	Interest	M	T					
32. NYS LOC GOVT ASSISTANCE CORP	D	Interest	M	T					
33. METROPOLITAN TRANS AUTH	D	Interest			Sold	10/28/14	M	C	
34. ATLANTA, GA. REV	C	Interest			Sold	09/26/14	M	C	

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	
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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)

35. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
36. NYS THWY SECOND GEN HIGHWAY SER A	C	Interest	M	T					
37. ERIE CTY NY INDL DEV	C	Interest			Sold	07/01/14	M	D	
38. NYS ENVIRON. FACS CORP	C	Interest	M	T					
39. SWARTHMORE BORO AUTH PA COLLEGE REV	C	Interest	M	T					
40. NYC TR CULTURAL RES REV	B	Interest	L	T					
41. NYC SER D	C	Interest	M	T					
42. SOUTHEASTERN PA TRANS AUTH REV	C	Interest	M	T					
43. NJ ST. ECON DEV AUTH	C	Interest	M	T					
44. NYC, NY DTD 10/23/2012 SER B	B	Interest	M	T					
45. BATTERY PARK, NY SENIOR - SER A	D	Interest	M	T					
46. NYS DORM AUTH SALES TAX SER A	C	Interest	M	T					
47. FL. ST	A	Interest			Sold	1/10/14	M		
48. NASSAU CTY SALES TAX - SER A	C	Interest	M	T					
49. LOUISVILLE & JEFF CTY, KY SER A	C	Interest	M	T					
50. PORT AUTH NY SER 179	D	Interest	M	T					
51. TOBACCO SETT REVENUE ASSET BACKED - SER A	C	Interest	M	T					

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52. UNIV. CALIFORNIA SER G	C	Interest	M	T	Buy	1/6/14	M		
53. NYS THWY REF	B	Interest			Buy	1/9/14	L		
54.					Sold	12/08/14	L	B	
55. PALM BEACH CTY FL SOL WST AUTH	B	Interest	M	T	Buy	05/12/14	M		
56.					Sold (part)	12/28/14	L	B	
57. PA ST TNPKE COMM SER C	B	Interest	L	T	Buy	06/26/14	L		
58. CHICAGO IL BRD OF ED	A	Interest	L	T	Buy	09/09/14	L		
59. SALES TAX ASSET REV SER A		None	M	T	Buy	09/24/14	M		
60. CENTRAL PLAINS ENERGY PROJ		None	L	T	Buy	11/24/14	L		
61. NYS THWY AUTH REF		None	M	T	Buy	12/04/14	M		
62.									
63. MUTUAL FUNDS									
64. GREYCOURT PARTNERS FUND (IRA))	F	Dividend	P1	T					
65. GREYCOURT PARTNERS FUND	G	Dividend	P2	T	Redeemed (part)	11/06/14	P1		
66.									
67.									
68. MISCELLANEOUS									

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69. CASH, JPMORGAN CHASE	E	Interest	O	T					
70. FINE ARTS HELD AS TENANT-IN-COMMON		None	P1	W					
71. ARBOR PPTY TRUST		None	K	T					
72. SERVICEMASTER LP		None	M	T					
73.									
74. NOTE: JUDGE STEIN HAS ELECTED NOT TO									
75. LIST INFORMATION XXXXXXXXXX									

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

None

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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 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544