

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/13/2021
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 5b. ☐ Amended Report	6. Reporting Period 1/1/2020 to 12/31/2020
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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. 2020	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. 2020	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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.		
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. Loan Depot	Mortgage on [REDACTED]/rental property #1, Brooklyn, NY, Pt VII, [REDACTED]	O
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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)
1. Citibank Cash Accounts	A	Interest	L	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			Redeemed	03/02/20	K		
5. -JPMorgan Deposit Account B	A	Interest	J	T	Open	03/02/20	K		
6. Acct B -Apple Inc Common Stock	A	Dividend	J	T					
7. -Coming Inc	A	Dividend	K	T	Buy	06/18/20	K		
8. -Walt Disney Co Common Stock	A	Dividend	J	T					
9. -First Horizon Natl Corp Common Stock	A	Dividend	J	T					
10. -International Business Machines Common Stock	B	Dividend	K	T					
11. -International Paper Co	A	Dividend	K	T	Buy	08/13/20	K		
12. -Macquarie Infrastructure Corp - Was Macquarie Infrastructure LLC	A	Dividend	K	T					
13. -Motorola Solutions Inc. Common Stock	A	Dividend			Sold	08/13/20	J	C	
14. -Microchip Technology Inc Common Stock	A	Distribution	J	T					
15. -Pfizer Inc Common Stock	A	Dividend	K	T					
16. -Terra Inventions Corp Common Stock		None	J	T					
17. -Viatris Inc		None	J	T	Spinoff (from line 15)	11/17/20	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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)
18. Brokerage Account #2(H)									
19. -Columbia Acorn Fund A	C	Dividend	K	T					
20. Brokerage Account #3 (H)									
21. -Apple, Inc	A	Dividend	J	T					
22. -Corning, Inc.	A	Dividend	J	T					
23. -Walt Disney Co	A	Dividend	J	T					
24. -International Business Machines Corp	A	Dividend	J	T					
25. -Pepsico	A	Dividend	K	T					
26. -Cash - JPMorgan Securities		None	J	T					
27. Brokerage Account #4 (H)									
28. -Apple, Inc	A	Dividend	J	T					
29. -Walt Disney Co	A	Dividend	J	T					
30. -Pepsico	A	Dividend	J	T					
31. -Cash - JPMorgan Securities		None	J	T					
32. Retirement Account #1 (H)									
33. -NM FDIC Insured Depoit Program	A	Interest			Closed	04/16/20	J		
34. -Morgan Stanley Bank Insued Cash Account	A	Interest	J	T	Open	04/16/20	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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. -AB Global Bond Fd Adv Cl	A	Dividend			Sold	03/12/20	J	A	
36. -American Century Short Duration Inflation Protection Bd Fd Inv Cl	A	Dividend			Sold	03/12/20	J		
37. -Baron Emerging Markets Fund Institutional Class	A	Dividend			Sold	04/23/20	K		
38. -Blackrock Strategic Income Opp Portfolia Fd Inlst Cl	A	Dividend			Sold	04/23/20	J		
39. -Blackrock Floating Rate Income Portfolio Fund Institutional Cl	A	Dividend			Sold	04/23/20	J		
40. -Carillon Eagle Small Cp Growth Fund Class I	A	Dividend			Sold	04/23/20	J		
41. -Cohen & Steers Real Estate Securities Fund Class I	A	Dividend			Sold (part)	03/12/20	J		
42.					Sold	04/23/20	J		
43. -Fidelity Advisor International Small Cap Fund Class I	A	Dividend			Sold	04/23/20	J		
44. -John Hancock Bond Fund Class I	A	Dividend			Sold	04/23/20	K	A	
45. -The Oakmark Inernational Fund Investor Class	A	Dividend			Sold	04/23/20	K		
46. -John Hancock International Growth Fund Class I	A	Dividend			Sold	04/23/20	K		
47. -John Hancock Disciplined Value Mid Cap Fund Class I	A	Dividend			Sold	04/23/20	J		
48. -Pimco Income Fund Class I-2	A	Dividend			Sold	04/23/20	K		
49. -Principal Midcap Fund Insitutional Class	A	Dividend			Sold	04/23/20	J		
50. -Vanguard REIT Index Fund Admiral Shares	A	Dividend			Sold	04/23/20	K		
51. -Vanguard Developed Markets Index Fund Admiral Class	A	Dividend			Sold	04/23/20	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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)
52. -Ishares Tr Edge MSCI EAFE Minimum Volatility ETF EFAV	A	Dividend	K	T	Buy	03/12/20	J		
53.					Buy (add'l)	04/23/20	J		
54.					Buy (add'l)	08/31/20	J		
55.					Sold (part)	10/06/20	J		
56. -Ishares Tr Core S&P 500 ETF	B	Dividend			Sold	04/23/20	M	B	
57. -Ishares Tr Core S&P Mid-Cap ETF	A	Dividend			Buy (add'l)	03/12/20	J		
58.					Sold	04/23/20	K		
59. -Ishares Tr Core S&P Small-Cap ETF IJR	A	Dividend	L	T	Buy (add'l)	04/23/20	K		
60.					Sold (part)	10/06/20	J		
61. -IsharesMSCI EAFE Small Cp ETF SCZ	A	Dividend	J		Buy	04/23/20	J		
62.					Sold (part)	10/06/20	J	A	
63. -Matthews Asia Dividend Investor Cl MAPIX	A	Dividend	K		Buy	04/23/20	K		
64.					Sold (part)	08/31/20	J	A	
65.					Sold (part)	10/06/20	J	A	
66. -New World Cl F2 NFFFX	A	Dividend	K		Sold (part)	08/31/20	J	A	
67.					Sold (part)	10/06/20	J	A	
68. -Sprott Physical Golld & Silver Tr Unit CEF	A	Dividend	K		Buy	10/06/20	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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)
69. -Vanguard Short Term Investment Grade Admiral CI VFSUX	A	Dividend	K		Buy	04/23/20	K		
70.					Sold (part)	10/06/20	J	A	
71. -Vanguard High Yield Corp Admiral CI VWEAX	A	Dividend	J		Buy	04/23/20	J		
72. -Vanguard Large Cap ETF VV	C	Dividend	N		Buy	04/23/20	M		
73.					Sold (part)	08/31/20	J	B	
74.					Sold (part)	10/06/20	J	B	
75. -Vanguard Long Term Bond Index ETF BLV	A	Dividend	J		Buy	04/23/20	J		
76.					Buy (add'l)	08/31/20	J		
77.					Sold (part)	10/06/20	J		
78. -Vanguard Midcap ETF VO	B	Dividend	M		Buy	04/23/20	M		
79.					Sold (part)	10/06/20	J	B	
80. -Vanguard Short Term Inflation Protected Securities ETF VTIP	A	Dividend	J		Buy	08/21/20	J		
81. -Vanguard Total Bond Market ETF BND	A	Dividend	K		Buy	04/23/20	K		
82.					Sold (part)	08/21/20	J	A	
83.					Buy (add'l)	08/31/20	J		
84.					Sold (part)	10/06/20	J	A	
85. -Vanguard Total World Stock ETF VT	A	Dividend	M	T	Buy (add'l)	04/23/20	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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)
86.					Buy (add'l)	06/30/20	J		
87.					Sold (part)	08/31/20	J	A	
88.					Sold (part)	10/06/20	J	A	
89. -Vanguard Index Fds S&P 500 ETF Shs New	A	Dividend			Buy (add'l)	03/12/20	J		
90.					Sold	04/23/20	M		
91. Retirement Account #2 (H)									
92. --NM Fdic Insured Deposit Program		None			Closed	06/10/20	J		
93. -AB Global Real Estate Investment Fd Cl A	A	Dividend			Sold	06/30/20	J		
94. -Europacific Growth Fund Class A	A	Dividend			Sold	06/30/20	J	B	
95. -The Growth Fund of America Class A	A	Dividend			Sold	06/30/20	J	C	
96. -MFS Value Fund Class A	A	Dividend			Sold	06/30/20	J	B	
97. -Invesco Oppenheimer Global Strategic Income Fund Class A	A	Dividend			Sold	06/30/20	J		
98. -Pimco Total Return Class A	A	Dividend			Sold	06/30/20	J	A	
99. -Small-Cap World Fund Class A	A	Dividend			Sold	06/30/20	J	C	
100. -Morgan Stanley Bank	A	Interest	J	T	Open	06/10/20	J		
101. -Ishares Edge MSCI Min Volatility EAFE ETF	A	Dividend	J	T	Buy	06/30/20	J		
102. Matthews Asia Dividend Investor CL	A	Dividend	J	T	Buy	06/30/20	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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)
103. Vanguard Short Term Investment Grade Admiral CL	A	Dividend	J	T	Buy	06/30/20	J		
104. Vanguard Large Cap ETF	A	Dividend	K	T	Buy	06/30/20	K		
105. -Vanguard Long Term Bond Index ETF	A	Dividend	J	T	Buy	06/30/20	J		
106. -Vanguard Mid Cap ETF	A	Dividend	J	T	Buy	06/30/20	J		
107. -Vanguard Total Bond Index ETF	A	Dividend	J	T	Buy	06/30/20	J		
108. -Vanguard Total World Stock ETF	A	Dividend	J	T	Buy	06/30/20	J		
109. -Victory Integrity Small-Cap Value Fund	A	Dividend			Sold	06/30/20	J		
110. -Washington Mutual Investors Fund Class A	A	Dividend			Sold	06/30/20	J	B	
111. College Fund #1 (H)									
112. -The Bond Fund of America -529A	A	Dividend	J	T					
113. -The Growth Fund of America - 529A	A	Dividend	K	T					
114. -The Income Fund of America - 529A	A	Dividend	J	T					
115. -New Perspective Fund - 529A	A	Dividend	J	T					
116. -Washington Mutual Investors Fund - 529A	A	Dividend	J	T					
117. College Fund #2 (H)									
118. -NYS 529 College Svgs Plan Moderate Age-Based Opt Conservative Growth		None	M	T	Buy (add'l)	05/08/20	J		See Note 1, Part VIII
119.					Buy (add'l)	05/15/20	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)
120.					Buy (add'l)	06/05/20	J		
121. College Fund #3 (H)									
122. -NYS 529 College Svgs Plan Moderate Age- Based Opt Conservative Growth					Sold	03/06/20	M		See Note 1, Part VIII
123. -NYS 529 College Svgs Plan Moderate Age- Based Conservative Portfolio		None	M	T	Buy	03/06/20	M		
124.					Buy (add'l)	04/30/20	J		
125.					Buy (add'l)	05/15/20	J		
126.					Buy (add'l)	06/05/20	J		
127. Rental Property #1, Brooklyn, NY See Note 2, Part VIII	F	Rent	P1	R					
128.									

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Locke, Steven I.

Date of Report

05/13/2021

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