

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Kuo, Peggy	2. Court or Organization District Court - Eastern District of New York	3. Date of Report 01/26/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☒ Amended Report	
7. Chambers or Office Address 225 Cadman Plaza East Brooklyn, NY 11201		
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. President	Federal Bar Council Inn of Court
2. Trustee	Federal Bar Council
3. Administrator	Estate #1
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. 2015	New York City Pension Plan - payments upon retirement, no control
2. 2010	New York Stock Exchange Pension Plan - payments upon retirement, no control
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. 2016	self-employed musician
2. 2016	music royalties
3. 2016	Fodera instruments - endorsement fee
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. American Friends of the Alexander von Humboldt Foundation	October 21-22, 2016	Washington, D.C.	Federal Chancellor Fellowship Alumni meeting	Lodging for 2 nights and meals
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. Federal Bar Council	Tickets to Annual Law Day Dinner, Thanksgiving Luncheon and Summer Kick-Off	\$1,050.00
2. Mercedes Benz	Ticket to Asian American Legal Defense and Education Fund dinner	\$1,000.00
3. New York County Lawyers Association	Ticket to annual gala	\$425.00
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.		
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. Justice Federal Credit Union - bank account	A	Interest	L	T					
2. New York City Deferred Compensation Plan - common trust fund		None	N	T					
3. TD Bank	D	Interest	J	T		08/22/16	J	A	
4. Vanguard 500 Index Fund Admiral Shares	C	Dividend	M	T	Sold (part)	12/12/16	K	D	
5. Vanguard Extended Mkt Index Fund Admiral Shares	B	Dividend	M	T					
6. Vanguard Total Bond Mkt Index Fund Admiral Shares	B	Dividend	K	T					
7. Vanguard Total International Bond Mkt Index Fund Admiral Shares	A	Dividend	K	T					
8. Vanguard Intermediate Term Investment Grade Fund Investor Shares	A	Dividend	K	T					
9. Vanguard Total Int'l Stock Index Fund Admiral Shares	D	Dividend	N	T					
10. Vanguard Total Stock Mkt Index Fund Admiral Shares	D	Dividend	N	T	Sold (part)	11/11/16	K	B	
11.					Sold (part)	11/15/16	K	B	
12. Vanguard Federal Money Market Fund	A	Dividend	L	T	Open	11/11/16	L		
13. Dodge & Cox Stock	A	Int./Div.	K	T	Sold (part)	01/04/16	J	A	
14. Vanguard Total Bond Mkt Institutional	A	Int./Div.	J	T					
15. Goldman Sachs Strategic Inc IS	A	Int./Div.	J	T					
16. DFA US Small Cap Value	A	Int./Div.	J	T					
17. Artisan Intl Institutional	A	Int./Div.	J	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	

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. Fidelity Contrafund K	A	Int./Div.	K	T	Sold (part)	01/04/16	J	A	
19. Fidelity Low Priced Stock K	A	Int./Div.	J	T					
20. Bank of America bank account	A	Interest	J	T					
21. Illinois State Universities Retirement System common trust fund		None	K	T					
22. Estate #1 (TD Bank cash only)		None	J	T	Open	12/19/16	J		
23.					Distributed (part)	12/25/16	J		

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

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

Part VII, items 2 and 21 are common trust funds which do not disclose the underlying holdings or the income derived from them. The only information I have shows the values of the account on a quarterly or annual basis, which may include reinvested dividends and interest, along with market fluctuations in the value of the assets. Accordingly, I have left columns B(1) and B(2) blank.

In Part VII, line 7, "Vanguard Total International Bond Mkt Index Fund Admiral Shares" does not indicate an opening date because I have held this since before 2016. It was erroneously listed in my 2015 Financial Disclosure in Part VII, line 47 as "Vanguard Total Bond Mkt Index Fund Admiral Shares".

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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/ Peggy Kuo**

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
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