

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) Gorenstein, Gabriel W.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 04/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge-fulltime	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 500 Pearl Street New York, NY 10007		
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. Treasurer	(cooperative corporation --Residence)
2. Co-Executor	Estate #1
3. Co-Trustee	Trust #1
4. Co-Executor	Estate # 2
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. 1994	New York State Employees Retirement Plan (pension upon retirement at age 65)
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.	
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.				

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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)	(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. Fidelity -- 500 Index	C	Dividend	M	T					
2. Fidelity -- NY (Tax-Free) Money Market	A	Dividend	J	T					
3. Fidelity NY Muni Money Market	A	Dividend	J	T					
4. Fidelity -- IRA -- 500 Index	C	Dividend	N	T	Buy (add'l)	03/08/20	J		
5. Fidelity -- Cash Reserves	A	Dividend	J	T					
6. Vanguard -- Cash Reserve Fed. MM Fund(changed name from Prime MM Fund)	B	Dividend	J	T					
7. Vanguard -- New York Muni Money Market Fund	D	Dividend	O	T					
8. Vanguard -- Total Stock Mkt. Index	E	Dividend	P1	T	Sold (part)	03/17/20	O		
9. Vanguard IRA -- Mid Cap Index	A	Dividend	J	T	Open	12/31/20	J		
10. Vanguard IRA -- Int'l Explorer	A	Dividend	J	T	Open	12/31/20	J		
11. Vanguard IRA -- Cash Reserves Fedl MM	A	Dividend	K	T	Open	12/31/20	K		
12. Vanguard IRA -- Strategic Equity	A	Dividend	J	T	Open	12/31/20	J		
13. Vangaurd IRA -- Small Cap Growth Index	A	Dividend	J	T	Open	12/31/20	J		
14. Vanguard IRA -- Value Index	A	Dividend	J	T	Open	12/31/20	J		
15. Chase Account	A	Interest	K	T					
16. American Express Bank	A	Interest	M	T					
17. Ally Bank	A	Interest	M	T					

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

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	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. Barclays Bank	A	Interest	M	T	Open	10/14/20	M		
19. CIT Bank	A	Interest	M	T	Open	10/20/20	M		
20. Schwab Bank	A	Interest	J	T					
21. NYS Deferred Comp. Plan NYSDCB Equity Index	A	Dividend	M	T					
22. TIAA-CREF Guaranteed Income	A	Interest	M	T	Open	11/12/20	M		
23. Estate #1 (H)									
24. - Chase account		None	J	T					
25. Trust #1 (H)									
26. - Chase Bank account	A	Interest			Distributed	09/14/20	J	A	
27. - Vanguard NY Municipal Money Market Fund	A	Interest			Distributed	09/14/20	J	A	
28. - Vanguard Prime Money Market Fund	A	Interest			Distributed	09/14/20	M	A	
29. -Vanugard Federal Money Market Fund	C	Interest			Distributed	09/14/20	J	A	
30. - Citibank Account	A	Interest			Distributed	09/14/20	J	A	
31. Extate # 2 (H)									
32. - Chase Account		None	M	T	Open	12/21/20	J		

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

Trust # 1 ceased to have any legal existence as of September 14, 2020.

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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/ Gabriel W. Gorenstein**

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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