

FINANCIAL DISCLOSURE REPORT

FINAL FILING

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) Gold, Steven M.	2. Court or Organization U.S. District Court EDNY	3. Date of Report 01/19/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2020 to 01/04/2021
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court 225 Cadman Plaza East Chambers 1217S Brooklyn, New York 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	
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. 12/4/19	JAMS - to commence employment some time in late Janaury 2021. This has been reported to the AO pursuant to the Stock Act.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Gold, Steven M.

Date of Report

01/19/2021

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.		
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	Salary/Executive Director, [REDACTED]
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.				

Name of Person Reporting	Date of Report
Gold, Steven M.	01/19/2021

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Gold, Steven M.

Date of Report

01/19/2021

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)
1. CHASE CHECKING	A	Interest	J	T					
2. CHASE PLUS SAVING	A	Interest	M	T					
3. CHASE DYNAMIC YIELD STRAT.									
4. -Cohen & Steers Pref's Sec & Inc	A	Int./Div.	J	T	Buy (add'l)	03/16/20	J		
5.					Sold (part)	03/24/20	J	A	
6. Matthews Asia Divided	A	Int./Div.	J	T	Buy (add'l)	02/27/20	J		
7.					Sold (part)	03/24/20	J	A	
8. Blackrock High Yield Bond	A	Int./Div.	J	T	Sold (part)	03/10/20	J	A	
9.					Sold (part)	03/24/20	J	A	
10. - Doubleline Total Return	A	Int./Div.	J	T	Sold (part)	03/09/20	J	A	
11.					Sold (part)	03/24/20	J	A	
12. TRP Inst Floating Rate	A	Int./Div.			Sold	03/24/20	K	A	
13. -Metropolitan West Funds	A	Int./Div.	J	T					
14. Lord Abbett Invt Tr	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
15. Federated Inst Hi Yld Bond	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
16. Nuveen Invt Tr V Pfd Secs Cl R	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
17. John Hancock II Str Inc I	A	Interest			Sold	03/23/20	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Gold, Steven M.

Date of Report

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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)
18. Pimco Mortgage Opportunities	A	Int./Div.	J	T	Buy (add'l)	03/09/20	J		
19.					Sold (part)	03/24/20	J	A	
20. Muzinch Low Durat- Supr Inst	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
21. Metropolitan West t/r	A	Int./Div.			Sold	03/24/20	K	A	
22. MFS Ser Tr III Muni	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
23. MFS Municipal High	A	Int./Div.	J	T					
24. Vanguard Div Appr	A	Int./Div.	J	T	Sold (part)	01/10/20	J	A	
25.					Sold (part)	03/11/20	J	A	
26.					Sold (part)	03/18/20	J	A	
27.					Sold (part)	03/25/20	J	A	
28. Pimco Dynamic Bond	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
29. Mainstay McKay High Yield	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	
30. Hartford Mut Funds Core Equity	A	Int./Div.	J	T	Sold (part)	03/10/20	J	A	
31.					Sold (part)	03/17/20	J	A	
32.					Sold (part)	03/24/20	J	A	
33. Ishares Short Term Corp Bond	A	Int./Div.			Sold	03/25/20	J	A	
34. Fidelity Real Est Inc	A	Int./Div.	J	T	Sold (part)	03/24/20	J	A	

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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 6 of 9

Name of Person Reporting

Gold, Steven M.

Date of Report

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	(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. Ishares Treasury Bond	A	Int./Div.	J	T	Buy (add'l)	03/11/20	J		
36.					Sold (part)	03/17/20	J	A	
37.					Buy (add'l)	03/18/20	J		
38.					Sold (part)	03/25/20	K	A	
39. Pear Tree Polaris Foreign Val	A	Int./Div.			Sold	02/28/20	J	A	
40. VANGUARD HEALTHCARE FUND IRA	D	Dividend	M	T					
41. T ROWE PRICE RTMNT. PLAN									
42. - T Rowe Price Personal Strategy(renamed Spectrum) Fund 403(b)	D	Dividend	M	T					
43. - T Rowe Price Health Sciences Fund 403(b)	D	Dividend	M	T					
44. - T Rowe Price Prime Reserve(renamed Govt) Fund 403(b)	A	Dividend	K	T					
45. REFORM PENSION BOARD 403(b)									
46. -Ref. Pens Bd. Apprecn &Inc. Fund 403(b)	C	Int./Div.	O	T	Buy (add'l)	01/01/20	K		
47. -Reform Jewish Values Fund	B	Int./Div.	L	T	Buy (add'l)	01/01/20	J		
48. UBS WEALTH MNGMNT ACCT									
49. Vanguard S&P 500 X	A	Dividend	L	T					
50. Three Certificates of Deposit X	A	Interest	K	T	Matured (part)	01/21/20	J	A	
51. Cash	A	Int./Div.	J	T					

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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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	(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. City of NY Muni Bonds	A	Int./Div.	K	T	Buy	04/20/20	K		
53. Costco Wholeal Stock	A	Int./Div.	K	T	Buy	04/20/20	K		
54. Merk Stock	A	Int./Div.	J	T	Buy	04/20/20	J		
55. Nextera Energy Stock	C	Int./Div.	M	T	Buy	04/20/20	M		
56. UBS IRA									
57. Cash	A	Int./Div.	L	T	Buy	10/15/20	L		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Gold, Steven M.

Date of Report

01/19/2021

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

1) Part VII, Lines 3, 41, 45, 48, and 56 are headers.

2) The acquisitions for the Reform Pension Board accounts reported on Lines 81-83 are stated in this report as having been made on January 1, 2020, as a matter of convenience only; the acquisitions were in fact made on multiple occasions throughout the year as part of [REDACTED] employer contributions and payroll deductions. The precise dates are irregular and not readily available to me.

3) I described the acquisitions on lines 52-55 and 57 with the term "buy." This is somewhat inaccurate; these assets were held by [REDACTED] who passed away in April 2020 and were subsequently inherited by [REDACTED] (there was, as the acquisition dates suggest, a delay in transferring the IRA account). There does not seem to be a drop down choice to select for an inheritance other than "buy."

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Gold, Steven M.

Date of Report

01/19/2021

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 M. Gold

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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Washington, D.C. 20544