

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) Moses, Barbara C.	2. Court or Organization United States District Court	3. Date of Report 08/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full-Time)	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 United States Courthouse 500 Pearl Street, Courtroom 20A New York, NY 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. Past President, Director	New York County Lawyers Association
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.	

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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. 2020	Self-Employed Financial Consultant
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.)*

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.		

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Name of Person Reporting

Moses, Barbara C.

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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. AT&T Common Stock	A	Dividend	J	T					
2. Berkshire Hathaway Class A Common Stock		None	P2	T					
3. Cisco Systems Common Stock	A	Dividend			Sold	02/12/20	J	C	
4. Citigroup Common Stock	B	Dividend			Sold	07/21/20	L	E	
5. Cycleron Therapeutics		None	J	T					
6. DFA Emerging Markets Core Equity 1	C	Dividend	M	T	Buy (add'l)	03/10/20	K		
7. DFA International Core Equity I	C	Dividend	M	T	Buy (add'l)	03/10/20	K		
8. DFA US Large Cap Value	B	Dividend			Buy (add'l)	03/10/20	K		
9.					Sold	07/20/20	M		
10. Doubleline Core Fixed Income Mutual Fund	E	Dividend	N	T	Sold (part)	01/22/20	J		
11.					Sold (part)	03/10/20	N	E	
12. Goldman Sachs Muni Income Fund Mutual Fund	B	Dividend	L	T					
13. Guggenheim Total Return Bond Instl	D	Dividend	N	T	Buy	03/10/20	N		
14.					Sold (part)	04/06/20	M		
15.					Buy (add'l)	07/20/20	L		
16.					Buy (add'l)	07/22/20	L		
17.					Buy (add'l)	08/05/20	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 =\$250,000,001 - \$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	

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☐ NONE (No reportable income, assets, or transactions.)

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	(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. Ironwood Pharmaceuticals Inc.		None	P1	T	Sold (part)	03/10/20	M	G	
19. iShares MSCI EAFE ETF	C	Dividend	M	T					
20. JM Smuckers Company Common Stock	B	Dividend	L	T					
21. Jefferies Group Inc. Common Stock	A	Dividend	J	T					
22. Lowe's Companies Common Stock		None			Sold	01/08/20	K	E	
23. Invesco Water Resources ETF	A	Dividend	J	T					
24. Schwab Fundamental US Large Company Index	C	Dividend	M	T	Buy	07/20/20	M		
25. SPDR S&P 500 ETF	E	Dividend	P1	T	Sold (part)	07/20/20	K	D	
26.					Sold (part)	10/12/20	K	E	
27. Spectrum Brands Holdings	A	Dividend	J	T					
28. T. Rowe Price International Stock Mutual Fund	A	Dividend	J	T					
29. Templeton Global Bond Mutual Fund	C	Dividend			Sold (part)	04/22/20	J		
30.					Sold (part)	07/20/20	K		
31.					Sold	07/22/20	L		
32. Tootsie Roll Industries Common Stock	A	Dividend	K	T	Sold (part)	04/03/20	J		
33. Vanguard Extended Market ETF	B	Dividend	M	T					
34. Vanguard FTSE Developed Markets ETF	A	Dividend			Sold	10/12/20	K	C	

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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	

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35. Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T	Sold (part)	10/12/20	K	C	
36. Vanguard High Dividend Yield ETF	D	Dividend	M	T	Buy (add'l)	03/10/20	K		
37. Vanguard Intermediate-Term Tax-Exempt Mutual Fund	D	Dividend	O	T					
38. Vanguard Limited-Term Tax-Exempt Mutual Fund	B	Dividend	M	T	Buy	08/05/20	M		
39. Vanguard Short-Term Bond Index Mutual Fund	B	Dividend	N	T	Buy	08/04/20	N		
40.					Buy (add'l)	10/12/20	J		
41. Vanguard Short-Term Treasury Mutual Fund	B	Dividend			Buy (add'l)	04/06/20	N		
42.					Sold (part)	08/04/20	N	C	
43.					Sold	08/05/20	M	D	
44. Vanguard Total Bond Market ETF	B	Dividend			Buy (add'l)	01/22/20	J		
45.					Sold (part)	03/10/20	M	E	
46.					Sold	04/06/20	M	D	
47. Vanguard Total International Stock ETF	C	Dividend	M	T					
48. Schwab Cash Sweep	A	Interest	P1	T					
49. JPMorgan Chase Bank Account	A	Interest	M	T					
50. Bank of America Account	A	Interest	M	T					
51. Canadian Imperial Bank of Commerce	A	Interest	N	T					

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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. 401(k) Plan #1 (H)									
53. - Fidelity Government Money Market Fund	A	Dividend	L	T					
54. - PIMCO High Yield Admin Mutual Fund	C	Dividend	M	T					
55. - Fidelity Overseas Fund K	A	Dividend	L	T					
56. - MFS Mid-Cap Growth Fund Class R6	B	Dividend	M	T					
57. - T. Rowe Price 2020 Mutual Fund	E	Dividend	M	T					
58. 401(k) Plan #2 (H)									
59. - IBM Common Stock	A	Dividend	J	T					
60. - Vanguard Large Company Index Fund		None	J	T					
61. - Interest Income Fund		None	J	T					
62. NY 529 Accounts (H)									
63. - Moderate Age-Based Option: Income Portfolio	A	Dividend	K	T	Sold (part)	08/14/20	J	C	
64.					Buy (add'l)	12/11/20	J		
65.					Sold (part)	12/16/20	J	C	
66. - Conservative Age-Based Option: Conservative Income Portfolio	A	Dividend			Sold (part)	08/14/20	J	C	
67.					Sold	12/07/20	J	C	
68. - Conservative Age-Based Option: Interest Accumulation Portfolio	A	Dividend	J	T	Buy	12/07/20	J		

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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)
69.					Buy (add'l)	12/11/20	J		
70.					Sold (part)	12/16/20	J	A	
71. - Interest Accumulation Portfolio	A	Dividend	J	T	Sold (part)	08/14/20	J	B	
72.					Buy (add'l)	12/11/20	J		
73.					Sold (part)	12/16/20	J	B	
74. - Inflation-Protected Securities Portfolio	B	Dividend	J	T	Sold (part)	08/14/20	J	C	
75.					Buy (add'l)	12/11/20	J		
76.					Sold (part)	12/16/20	J	B	
77. Treasury Direct Savings Bonds	A	Interest	L	T					
78. Orrick Investments 2000 LLC		None			Closed	01/01/20	J	A	
79. Orrick Investments 2001 LLC	A	Distribution	J	T					

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
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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.)*

Line 18: Ironwood Pharmaceuticals Inc - this position resulted from the combination of the Class A and Class B entries in prior submissions.

Line 61: Interest Income Fund - this is a fixed income position offered through a 401(k) plan that is traded as a separate account. It is not structured as a mutual fund and the underlying assets are managed by mutlipe third parties.

Lines 63, 65-67, 70-71, 73-74 & 76 - reported gains are best efforts estimates because 529 plan provider does not provide realized gain/loss reporting information.

Lines 63, 66, 68, 71 & 74 - these are investment portfolios offered through the NY 529 plan. These investment portfolios do not trade as mutual funds, although they do invest in one or more underlying mutual funds as determined by the plan administrator.

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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/ **Barbara C. Moses**

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