

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Ellis, Ronald L.	2. Court or Organization Southern District of New York	3. Date of Report 10/16/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - f/t	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 500 Pearl Street Suite 1970 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Professor of Law	Columbia University Law School
2.	
3.	
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Ellis, Ronald L.

Date of Report

10/16/2015

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. 2014	Columbia University Law School	\$5,000
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. 2014	Berkeley Carroll School - 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. American Bar Association	March 27, 2014 to March 28, 2014	Palm Springs, CA	Seminar/Panel (Teach)	Lodging, Transportation, Meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Ellis, Ronald L.

Date of Report

10/16/2015

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Ellis, Ronald L.

Date of Report

10/16/2015

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. Axa Equitable (Formerly "The Equitable"; 401(K); Alliance Common Stock	D	Dividend	M	T					
2. Vanguard Group: Rollover Pension; Wellington Fund	E	Dividend	N	T					
3. TIAA-CREF; Retirement; Mutual Fund Account	E	Dividend	O	T					
4. JP Morgan Chase Bank; Checking/ Savings	A	Interest	M	T					
5. JP Morgan Chase Bank; IRA Acct 1; Alliance/Putnam Funds, Money Mkt	E	Dividend	L	T					
6. JP Morgan Chase Bank; IRA Acct 2; Alliance/Putnam Funds, Money Mkt	A	Dividend	K	T					
7. Prudential Insurance Co. - Whole Life	A	Dividend	K	T					
8. Northwestern Mutual Life Insurance Policy 1 - Whole Life	A	Dividend	J	T					
9. Northwestern Mutual Life Insurance Policy 2 - Whole Life	A	Dividend	J	T					
10. TIAA-CREF Life Insurance - Policy 1 - Term Life	D	Dividend	J	T					
11. TIAA-CREF Life Insurance - Policy 2 - Term Life	C	Dividend	J	T					
12. SBLI USA Life Mutual Insurance - Term	A	Dividend	J	T					
13. Met Life Money Market	A	Interest	K	T					
14. JPMorgan Investments; Managed Brokerage Account -new- (X)	A	Dividend	L	T					
15. -- ALLIANCE BERNSTEIN INTER DIVERSIFIED MUNICIPAL FUND A - AIDAX	A	Dividend	J	T					
16. -- ASTON/AIRPOINTE MID CAP FUND CL 1 - ABMIX	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 8

Name of Person Reporting

Ellis, Ronald L.

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17. -- AMERICAN CENTURY INTER-TERM TAX FREE BD FD - AXBIX INSTL CL	A	Dividend	J	T					
18. -- BLACKROCK FDS - BHYIX	A	Dividend	J	T					
19. -- BLACKROCK INTERNATIONAL INDEX FUND INSTL CL - MAIIX	A	Dividend	J	T					
20. -- CAUSEWAY CAP MGMT TR INTL VALUE FD INSTL CL - CIVIX	A	Dividend	J	T					
21. -- DELAWARE GROUP EMERGING MARKETS FUND-INSTL CL - DEMIX	A	Dividend	J	T					
22. -- DODGE & COX FUNDS INTERNATIONAL STOCK FUND - DODFX	A	Dividend	J	T					
23. -- GOLDMAN SACHS SMALL CAP VALUE FUND-INSTL CL - GSSIX	A	Dividend	J	T					
24. -- GOLDMAN SACHS EMERGING MKTS DEBT FD INSTL CL - GSDIX	A	Dividend	J	T					
25. -- OAKMARK FUND - OAKMX	A	Dividend	J	T					
26. -- HARBOR INTERNATIONAL FUND INSTITUTIONAL - HAINX	A	Dividend	J	T					
27. -- JPMORGAN TR I INTER TAX FREE BD FD INSTL CL - JTIIX	A	Dividend	J	T					
28. -- JPMORGAN TR I U S EQUITY FD INSTL CL - JMUEX	A	Dividend	J	T					
29. -- JPMORGAN TR I MID CAP EQUITY FD SELECT CL - VSNGX	A	Dividend	J	T					
30. -- JPMORGAN TR I SMALL CAP EQUITY FD SELECT CL I - VSEIX	A	Dividend	J	T					
31. -- JPMORGAN TR II HIGH YIELDFD SELECT CL - OHYFX	A	Dividend	J	T					
32. -- JPMORGAN VALUE ADVANTAGE FD INSTL CL - JVAIX	A	Dividend	J	T					

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Ellis, Ronald L.

Date of Report

10/16/2015

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33. -- JPMORGAN TR I INTL VALUE FD INSTL CL - JNUSX	A	Dividend	J	T					
34. -- JPMORGAN TR II SHORT-INTER MUN BD FD INSTL - JIMIX	A	Dividend	J	T					
35. -- MASSACHUSETTS INVESTORS TRUST CL I - MITIX	A	Dividend	J	T					
36. -- MFS SER TR X EMERGING MARKET DEBT FUND CLASS I - MEDIX	A	Dividend	J	T					
37. -- MAINSTAY HIGH YIELD CORPORATE BOND FUND CC I - MHYIX	A	Dividend	J	T					
38. -- PIMCO LOW DURATION FUND INSTL CL - PTLDX	A	Dividend	J	T					
39. -- T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE FUND - PRSMX	A	Dividend	J	T					
40. -- WELLS FARGO ADVANTAGE GROWTH FUND CL I - SGRNX	A	Dividend	J	T					
41. -- WELLS FARGO ADVANTAGE FUNDS EMERGING MKTS EQ FD INSTL CL - EMGNX	A	Dividend	J	T					
42. J P MORGAN DEPOSIT SWEEP	A	Interest	J	T					
43.									
44.									
45.									

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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	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Ellis, Ronald L.

Date of Report

10/16/2015

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

Part VII, Line 3

This is a School sponsored retirement plan. Participants choose general categories such as stocks, bonds, real estate, but not individual stocks. The selections here are: 1) CREF Stock R1; 2) TIAA Real Estate; 3) CREF Bond Market R1; and 4) CREF Int-Linked Bond R1

Part VII, Line 14

The individual components of the account are listed on Lines 15 through 42.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Ellis, Ronald L.

Date of Report

10/16/2015

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/ Ronald L. Ellis**

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