

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Locke, Steven I.	2. Court or Organization District Court, Eastern District of New York	3. Date of Report 10/10/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 100 Federal Plaza Room 824 Central Islip, NY 11722		
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.		
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. 2015	Collection of pre-appointment accounts receivable	\$4,222.00
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. 2015	The City of New York, Salary
2. 2015	Legal Fees - Self employed Attorney
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.)*

	<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.	Quicken Loans	Mortgage on combined personal residence/rental property #1, Brooklyn, NY, Pt VII, line 75	O
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. Citibank accounts	A	Interest	M	T					
2. Hormel, Inc Common Stock	A	Dividend	J	T					
3. Brokerage Account #1 (H)									
4. -JPMorgan TR I Prime Money Market	A	Interest	K	T					
5. -Atmel Corp Common Stock	A	Dividend	J	T					
6. -Walt Disney Co Common Stock	A	Dividend	J	T					
7. -First Horizon Natl Corp Common Stock	A	Dividend	J	T					
8. -International Business Machines Common Stock	B	Dividend	K	T					
9. -Macquarie Infrastructure Corp - Was Macquarie Infrastructure LLC	B	Dividend	K	T					
10. -Motorola Solutions Inc. Common Stock	A	Dividend	J	T					
11. -Pfizer Inc Common Stock	A	Dividend	K	T					
12. -Terra Inventions Corp Common Stock		None	J	T					
13. -Teradyne Inc Common Stock	A	Dividend	J	T					
14. Brokerage Account #2(H)									
15. -Columbia Acorn Fund A	D	Dividend	J	T					
16. Brokerage Account #3 (H)									
17. -Apple, Inc (X)		None	J	T	Open	08/27/15	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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18. -Corning, Inc.	A	Dividend	J	T					
19. -Walt Disney Co	A	Dividend	J	T					
20. -International Business Machines Corp	A	Dividend	J	T					
21. -Pepsico	A	Dividend	J	T					
22. -Cash - JPMorgan Securities		None	J	T					
23. Brokerage Account #4 (H)									
24. -Walt Disney Co	A	Dividend	J	T					
25. -Pepsico	A	Dividend	J	T					
26. -Cash - JPMorgan Securities		None	J	T					
27. Retirement Account #1 (H)									
28. -General Money Market Fd C1 B	A	Interest	J	T					
29. -Dreyfus Ins Deposit Program I	A	Interest	J	T					
30. -American Century Short Duration Inflation Protect- ion Bnd Fd Inv Cl	A	Dividend	J	T	Buy (add'l)	04/17/15	J		
31. -Columbia Acorn International Fd C1 R4	A	Dividend	K	T	Buy (add'l)	04/17/15	J		
32. -Credit Suisse Commodity Return Strategy Fd C1 I	A	Dividend			Sold	12/21/15	K		
33. -Dodge & Cox Income Fund	A	Dividend	K	T					
34. -Eagle Small Cap Growth Fund C1 I	A	Dividend	J	T	Sold (part)	04/17/15	J	A	

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	

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35. -Eaton Vance Floating Rate High Income Instit Class	A	Dividend	J	T					
36. -Fidelity Advisor Mid Cap II Fd Class I	A	Dividend	K	T	Sold (part)	04/17/15	J	B	
37. -Fidelity Advisor New Insights Fd Class I	A	Dividend	L	T	Sold (part)	04/17/15	J	A	
38. -Fundamental Investors Class F-2	A	Dividend	L	T	Sold (part)	04/17/15	J	B	
39. -The Oakmark International Fund Class I	A	Dividend	K	T	Buy (add'l)	04/17/15	J		
40. -Silverpepper Commodity Strategy Global Macro Fund Inst Class		None	K	T	Buy	12/21/15	K		
41. -John Hancock Disciplined Value Mid Cap Fund Class I	A	Dividend	K	T	Sold (part)	04/17/15	J	A	
42. -MFS International Value Fund Class I	A	Dividend	K	T	Sold (part)	04/17/15	J	A	
43. -MFS Value Fund Class I	B	Dividend	L	T	Sold (part)	04/17/15	J	B	
44. -Northern Small Cap Value Fund	A	Dividend	J	T	Buy	11/06/15	J		
45. -Oppenheimer Developing Markets Fund Class Y	A	Dividend	K	T	Buy (add'l)	04/17/15	J		
46. -Pimco Income Fund Class P	B	Dividend	K	T					
47. -T Rowe Price Emerging Markets Stock	A	Dividend	J	T					
48. -Royce Opportunity Fund Investment Class	A	Dividend			Buy (add'l)	04/17/15	J		
49.					Sold	11/06/15	J	A	
50. -Russell Global Real Estate Sec Fd Class S	A	Dividend	K	T	Sold (part)	04/17/15	J	A	
51. -Templeton Globa Bond Fund Advisor Class	A	Dividend	J	T	Buy (add'l)	04/17/15	J		

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
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		
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52. Retirement Account #2 (H)									
53. -Dreyfus Ins Deposit Program I	A	Interest	J	T					
54. -Alliance Bernstein Global Real Estate Investment Fd C1 A	A	Dividend	J	T					
55. -Europacific Growth Fund Class A	A	Dividend	J	T					
56. -The Growth Fund of America Class A	A	Dividend	J	T					
57. -MFS Value Fund Class A	A	Dividend	J	T					
58. -Oppenheimer Global Strategic Income Fund Class A	A	Dividend	J	T					
59. -Pimco Total Return Class A	A	Dividend	J	T					
60. -Small-Cap World Fund Class A	A	Dividend	J	T					
61. -Victory Integrity Small-Cap Value Fund	A	Dividend	J	T					
62. -Washington Mutual Investors Fund Class A	A	Dividend	J	T					
63. College Fund #1 (H)									
64. -The Bond Fund of America -529A	A	Dividend	J	T					
65. -The Growth Fund of America - 529A	A	Dividend	J	T					
66. The Income Fund of America - 529A	A	Dividend	J	T					
67. New Perspective Fund - 529A	A	Dividend	J	T					
68. Washington Mutual Investors Fund - 529A	A	Dividend	J	T					

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69. College Fund #2 (H)									
70. -NYS 529 College Savings Plan-Moderate Age-Based Opt. Conserve Growth		Dividend	M	T	Buy (add'l)	02/11/15	J		See Note 1, Part VIII
71.					Buy (add'l)	10/26/15	J		
72.					Buy (add'l)	11/21/15	J		
73. College Fund #3 (H)									
74. -NYS 529 College Savings Plan-Moderate Age-Based Opt. Conserve Growth		Dividend	M	T	Buy (add'l)	02/11/15	J		See Note 1, Part VIII
75. Rental Property #1, Brooklyn, NY See Note 3, Part VIII	E	Rent	P1	R					
76. Law Offices of Steven I. Locke, PC (Y)									See Note 4, Part VIII

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

Notes to Part VII.

Note 1. College Funds which do not report income as an item separate from change in value.

Note 2. Macquarie Infrastructure changed from an LLC to a Corporation.

Note 3. Property was purchased in 2002 for \$1,335,000.

Note 4. Law practice closed on appointment to the bench.

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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/ **Steven I. Locke**

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