

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Hochberg, Faith S.	2. Court or Organization District of New Jersey	3. Date of Report 07/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Post Office and Courthouse Federal Square Newark, N.J. 07101-0999		
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. VP and Secretary	Hochberg Foundation, Inc.
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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. 12/31/2013	Artist - self employed	\$3,866.10
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. 12/31/2013	Professor of Surgery, NYU Medical Center
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. University of Texas CLE	January 24-25, 2013	Alexandria, VA	Educational panel	Transportation, lodging, meals
2. Practicing Law Institute	February 11-13, 2013	San Francisco, CA	Educational panel	Transportation, lodging, meals
3. The Sedona Conference	September 18-20, 2013	Washington, DC	Educational panel	Transportation, lodging, meals
4. ChIPS	October 10-12, 2013	Washington, DC	Educational panel	Transportation, lodging, meals
5. IBC Legal Conference	December 9-12, 2013	London, U.K.	Educational panel	Transportation, lodging, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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. AAPL		None	O	T	Buy	02/27/13	O		
2. BRK A		None	P1	T					
3. EWZ		None			Sold	01/18/13	M		
4. FXI		None			Sold	04/25/13	M	A	
5. OAKGX	C	Interest	M	T					
6. OMEGA FUND		None	P1	T					
7. OMEGA CREDIT OPP FUND		None	N	T	Buy	06/30/13	N		
8. S&P 500 Fund Schwab ticker symbol SWPPX	D	Dividend			Sold	05/31/13	M	E	
9. SIGA		None	O	T					
10. SPY	B	Dividend	O	T	Buy (add'l)	06/06/13	O		
11. VELTI LTD symbol VELT	A	Dividend			Sold	06/06/13	J		
12. PIMCO Real symbol PRTCX	A	Dividend	L	T					
13. Templeton symbol TEBX	A	Dividend	K	T					
14. Barclays TIPS symbol TIP	A	Dividend			Sold	06/06/13	J		
15. SPDR GOLD symbol GLD	A	Dividend			Sold	06/06/13	J		
16. EMERGING Markets ETF symbol VWO	A	Dividend			Sold	06/06/13	J	D	
17. U.S. Treasury Obligations (account with Federal Reserve)	D	Interest	P1	T					

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 H ~\$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 \$5,000,000	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 5 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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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 I (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. Pine Street Partners Limited Partnership	F	Distribution	P1	T					
19. Tower Associates Limited Partnership		None			Sold	12/30/13	J		
20. Goldman Sachs Real Estate Trusts	E	Distribution	N	T					
21. U.S. Treasury Money Market Funds	E	Interest	P1	T					
22. TIAA-CREF	D	Distribution	N	T					
23. Merrill Lynch Gov't Bond Fund	D	Interest			Sold	11/26/13	N		
24. NJ Highway (Trpk) Bonds	D	Interest	M	T					
25. PlainfieldNJ Bonds	C	Interest			Sold	05/02/13	L		
26. NJ Econ Development Bonds	E	Interest	N	T					
27. North HudsonNJ Sewer Bonds	F	Interest	L	T					
28. NJ Educational Dev Bonds	D	Interest	M	T					
29. MontgomeryMD Bonds	B	Interest	K	T	Buy	03/05/13	K		
30. NJ Transit (Tpke) Bonds	E	Interest	N	T					
31. ClaytonBoroNJ Bonds	F	Interest	L	T					
32. North HudsonNJ Sewer Bonds	D	Interest	M	T					
33. NJ Sports Auth	D	Interest	M	T					
34. North NJ Water Bonds	D	Interest	M	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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35. NJ Healthcare Bonds	E	Interest	N	T					
36. Monmouth County, NJ Bonds	D	Interest	M	T					
37. Lower Colorado River Bonds	D	Interest	M	T					
38. NJ Health CRE FFA	D	Interest	M	T					
39. NJ Healthcare	D	Interest	N	T					
40. Essex County, NJ Imprv Auth	D	Interest	M	T					
41. NJ Transit Bonds	E	Interest	N	T					
42. NJ Healthcare	C	Interest	L	T					
43. NJ Tobacco Settlement Bonds	C	Int./Div.	M	T	Buy	01/11/13	M		
44. NJ Econ Development Bonds	D	Interest	L	T					
45. Southern NJ Transit Bonds	D	Interest	M	T	Sold (part)	09/12/13	M		
46. Passaic Valley Sewer Bonds	B	Interest	L	T					
47. Atlantic County., NJ Bonds	C	Interest	K	T					
48. NJ Transit Bonds	D	Interest	M	T					
49. NJ EDA Water Bonds	D	Interest	M	T					
50. NJ Housing	D	Interest	M	T					
51. NJ ST CTFS Partnership	D	Interest	M	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	
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 7 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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52. Arlington County Bonds	D	Interest			Sold	01/30/13	K		
53. NJ Muni Bond Fund	E	Interest	O	T					

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
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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Hochberg, Faith S.

Date of Report

07/15/2014

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/ **Faith S. Hochberg**

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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