

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Dearie, Raymond J.	2. Court or Organization Eastern District of New York	3. Date of Report 07/21/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse Room 910 225 Cadman Plaza East Brooklyn, NY 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.		
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.			
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 Checking and Savings	A	Interest	M	T					
2. Citibank IRS Money Market AIC	A	Interest	J	T					
3. Federal Credit Union	A	Interest	K	T					
4. USAA Checking and Savings (X)	A	Interest	J	T					
5. First National Bank of St. Louis (X)	A	Interest	J	T					
6. Municipal Credit Union (X)	A	Interest	J	T					
7. Apple	A	Dividend	J	T	Buy	05/18/16	J		
8. Berkshire Hathaway Inc.(X)	A	Dividend	K	T					
9. Chevron Corp	A	Dividend	J	T					
10. Conoco Phillips		None	J	T					
11. Express Scripts Holding		None	J	T					
12. General Mills	A	Dividend	K	T					
13. Nike	A	Dividend	K	T					
14. Potash		None			Sold	05/18/16	J		
15. Target		None			Sold	05/18/16	J		
16. Walt Disney		None	J	T					
17. Wells Fargo		None	J	T	Buy	05/18/16	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 \$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	

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18. MFS Global Equity Fund CL A	A	Int./Div.	J	T					
19. MFS Int'l Diversificaiton	D	Int./Div.	J	T					
20. JP Morgan Chase	A	Dividend	J	T					
21. Edward Jones Investment - Act (H)									
22. Bridge Builder Bond Fund	A	Dividend	J	T					
23. Bridge Builder Core Plus Bond Assoc.	A	Dividend	J	T	Buy	06/16/16	J		
24. Capital World Bond	A	Dividend			Sold	06/16/16	J		
25. CBA Aggressive Growth I	A	Dividend			Sold	06/16/16	J		
26. Columbia Small Cap Value I	A	Dividend	J	T					
27. Dimensional DFA Int'l Value Fund	A	Dividend	J	T	Buy	09/07/16	J		
28. Dodge & Cox Stock	A	Dividend	J	T					
29. Europacific Growth	A	Dividend	J	T					
30. Franklin Mutual Shares	A	Dividend	J	T					
31. Harbor International	A	Dividend			Sold	09/07/16	J		
32. Ironbridge Smid Cap	A	Dividend	J	T					
33. Jh Disciplined Value Mid Cap	A	Dividend	J	T					
34. JP Morgan Fed Mon Mkt	A	Dividend	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	
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. Mainstay Icap Select Equity	A	Dividend			Sold	05/11/16	J		
36. Metropolitan West Ttl Ret Bd (X)	A	Dividend			Sold	06/16/16	J		
37. MFS Int'l Value	A	Dividend	J	T					
38. Pimco Total Return IV (X)	A	Dividend	J	T					
39. Prudential High Yield	A	Dividend	J	T					
40. Prudential Jenn Mid Cap GR	A	Dividend	J	T					
41. T. Rowe Price Instl Lrge Cp G (X)R	B	Dividend	J	T					
42. T. Rowe Price Int'l Stock (X)	A	Dividend	J	T	Buy (add'l)	06/16/16	J		
43. Victory Small Company Opport	A	Dividend	J	T					
44. Edward Jones Act. 2 - Roth IRA (X) (H)									
45. AFS Int'l Growth Fund CL I	A	Dividend	J	T	Buy	05/25/16	J		
46. Bridge Builder Bond Fund	A	Dividend	J	T					
47. Cba Aggressive Growht I	A	Dividend	J	T					
48. Columbia Acorn Int'l	A	Dividend	J	T	Buy (add'l)	06/16/16	J		
49. Dimensional Int'l Small Co. Fund	A	Dividend	J	T	Buy	05/25/16	J		
50. Dodge & Cox Stock	A	Dividend	J	T					
51. Franklin Mutual Shares CI Z	A	Dividend	J	T	Buy (add'l)	06/16/16	J		

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52. Fundamental Investors	A	Dividend	J	T					
53. Harbor Capital Appreciation	A	Dividend	J	T					
54. Harbor International	A	Dividend			Sold	09/07/16	J		
55. Invesco Cornstock	A	Dividend	J	T					
56. JP Morgan Fed Mon Mkt	A	Dividend	J	T					
57. JP Morgan High Yield	A	Int./Div.	K	T	Buy (add'l)	05/11/16	J		
58. JP Morgan Mid Cap Value Instl	A	Int./Div.	K	T	Sold (part)	05/25/16	J		
59. JP Morgan US Gov't Money Market Fund	A	Dividend	J	T	Buy	05/11/16	J		
60. Loomis Sayles Global Bond	A	Dividend			Sold	05/25/16	J		
61. Loomis Sayles INV Grade BD	A	Dividend	J	T					
62. Metropolitan West Ttl Red Bd	A	Dividend	J	T					
63. MFS International Value	A	Dividend	J	T					
64. MFS Value	A	Dividend	J	T					
65. Pimco Total Return IV	A	Dividend	J	T					
66. Prudential High-Yield	A	Dividend	J	T					
67. T. Rowe Price Blue Ship Gr	A	Dividend	J	T					
68. T. Rowe Price Intl Bond	A	Dividend	J	T					

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69. Edward Jones Act. 3 - Traditional IRA (X) (H)									
70. Bridge Builder Bond Fund	A	Dividend	J	T					
71. Bridge Builder Large Growth	A	Dividend			Sold	05/25/16	J		
72. Bridge Builder Small Mid-Growth	A	Dividend	J	T	Buy (add'l)	06/16/16	J		
73. Bridge Builder Small Mid-Value	A	Dividend	J	T					
74. Bridge Builder Intl Equity	A	Dividend	J	T					
75. CBA Aggressive Growth I	A	Dividend			Sold	05/25/16	J		
76. Dodge & Cox Stock	A	Dividend	J	T	Buy (add'l)	05/25/16	J		
77. Franklin Mut Gbl Dscv Fd Cl Z	A	Dividend			Sold	05/25/16	J		
78. Fundamental Investors	A	Dividend	J	T					
79. Harbor Capital Appreciation	A	Dividend	J	T					
80. Invesco Cornstock	A	Dividend	J	T					
81. JP Morgan Fed Mon Mkt	A	Dividend	J	T					
82. JP Morgan High Yield	A	Dividend	J	T					
83. JP Morgan Mid Cap Value	A	Dividend	J	T					
84. Loomis Sayles Global Bond	A	Dividend			Sold	05/25/16	J		
85. Loomis Sayles Inv Grade Bd	A	Dividend	J	T					

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86. Metropolitan West Ttl Ret Bd	A	Dividend	J	T					
87. MFS Intl New Discovery	A	Dividend			Sold	05/25/16	J		
88. MFS Value	A	Dividend	J	T					
89. Pimco Total Return IV	A	Dividend	J	T					
90. Prudential Jenn Mid Cap Gr	A	Dividend	J	T					
91. Ranier Small/Mid Cap Eq Instl	A	Dividend	J	T					
92. Scout Int'l	A	Dividend	J	T					
93. T. Rowe Price Blue Chip Gr	A	Dividend	J	T					
94. T. Rowe Price Intl Bd	A	Dividend	J	T					
95. T. Rowe Price Intl Stock	A	Dividend	J	T					
96. Federate Municipal & Stock Advantage Fund	A	Dividend	J	T					
97. Rollover IRA (H) Mutual Funds									
98. Blackrock Large Cap Value Fund		None	L	T	Sold (part)	12/08/16	K		
99. JP Morgan Large Cap Growth		None	K	T					
100. Newberger Berman Mid Cap Growth	A	Dividend	J	T					
101. Newberger Int'l Equity Fund	A	Dividend	K	T					
102. Clearbridge Small Cap Grw Cl A	A	Dividend	J	T					

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103. Prudential Jennison Int'l Fund	A	Dividend	K	T					
104. Prudential QMA Small Cap Value	A	Dividend	J	T	Sold (part)	12/08/16	J		
105. Victory Integrity Mid Cap Value	A	Dividend	K	T	Sold (part)	12/08/16	J		
106. Prudential Equities Individual Account (H)									
107. Annaly Cap Mgmt. Inc.		None	J	T					
108. Apple Inc.	A	Dividend	J	T					
109. Berkshire Hathway Inc.	A	Dividend	J	T					
110. Calamos High Income Fund	A	Dividend	J	T					
111. Celgene Corp.	A	Dividend	J	T	Buy	12/06/16	J		
112. Gilead Sciences Inc.	A	Dividend	J	T					
113. Harmon Int'l Industries Inc.	A	Dividend	J	T					
114. JP Morgan Chase & Co.	A	Dividend	J	T					
115. KKR & Co.	A	Dividend	J	T					
116. Newberger Berman	A	Dividend	J	T					
117. Stryker Corp		None	J	T	Buy	12/06/16	J		
118. TJX Cos Inc.	A	Dividend	J	T					
119. I Shares		None	J	T					

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120. SPDR Five Hundred		None	J	T					
121. Vanguard Whitehall Funds	A	Dividend	J	T					
122. Starwood Property Inc.	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

Name of Person Reporting	Date of Report
Dearie, Raymond J.	07/21/2017

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dearie, Raymond J.

Date of Report

07/21/2017

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/ **Raymond J. Dearie**

Raymond J. Dearie

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