

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) BERNSTEIN, STUART M.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/09/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Bankruptcy Court One Bowling Green New York, New York 10004		
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.	Director	Fordham Law Alumni Association
2.	Trustee	Trust # 1
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.		

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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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2017

Defined Benefit Plan

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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. 401K Plan									
2. -- Vanguard Prime Money Market Instl (401k)	B	Dividend	N	T					
3. -- T. Rowe Price Personal Strat Balanced (401k)	E	Dividend	N	T					
4. JP Morgan Chase Bank Accounts	A	Interest	N	T					
5. Citibank Accounts	B	Interest	P1	T					
6. Citibank Account	A	Interest	N	T					
7. Citibank Account	A	Interest	M	T					
8. Keogh (Target) Plan--Plan I	D	Int./Div.	O	T	Distributed (part)	12/31/17	K		
9. Phoenix Life Insurance (Whole Life)	B	Dividend	K	T					
10. Non-Deductible Contribution Plan III (Capital "C" Account)		None			Distributed	12/31/17	M		
11. Capital "A" Account		None	N	T	Distributed (part)	02/01/17	M		
12. Schwab US Treasury Money Fund (2588)	A	Interest	M	T					
13. PIMCO Foreign Bond (Hedged)-D (2588)	B	Dividend			Sold (part)	07/17/17	M		
14.					Sold	11/03/17	M	D	
15. American Century Equity Income Fund (2588)	E	Dividend	N	T					
16. Invesco Diversified Dividend - A (2588)	C	Dividend			Sold (part)	07/14/17	M	D	
17.					Sold	08/04/17	M	D	

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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	L ~\$50,001 - \$100,000 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.)

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. Permanent Portfolio (2588)	D	Dividend	N	T	Buy (add'l)	01/30/17	M		
19. Vanguard Div Appreciation (2588)	B	Dividend	N	T	Buy (add'l)	07/20/17	M		
20.					Sold (part)	09/08/17	M	E	
21. iShares Russell 2000 Index (2588)	B	Dividend			Buy (add'l)	02/28/17	M		
22.					Sold (part)	03/28/17	M		
23.					Sold	05/26/17	M		
24. Black Rock Floating Rate Income Inv A (2588)	D	Dividend			Sold (part)	05/09/17	M	C	
25.					Sold	06/20/17	M	B	
26. Lord Abbett Floating Rate Fund C1 A (2588)	C	Dividend			Sold	04/17/17	M		
27. Black Rock High Yield Bond (2588)	E	Dividend	N	T					
28. Jensen Quality Growth (2588)	D	Dividend	N	T	Buy	06/21/17	M		
29.					Buy (add'l)	07/17/17	M		
30. T. Rowe Price Capital Appreciation (2588)	E	Dividend	N	T					
31. SPDR S&P 500 Index (2588)		None	M	T	Buy	11/17/17	M		
32. American Funds EuroPacific Growth-A (2588)	E	Dividend	O	T	Buy	05/10/17	M		
33.					Buy (add'l)	05/30/17	M		
34.					Buy (add'l)	08/07/17	M		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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)
35. Invesco Int'l Growth Fund C1 Y (2588)	D	Dividend	M	T	Buy	09/11/17	M		
36. Nuveen High Yield Muni Bond Fund C1 A (2588)	D	Dividend	N	T	Buy	04/05/17	M		
37.					Buy (add'l)	04/18/17	M		
38. T. Rowe Price Capital Appreciation (5289)	E	Dividend	N	T	Sold (part)	12/18/17	M	D	
39. SPDR Sector-Industrials (5289)	B	Dividend			Sold (part)	08/09/17	M	E	
40.					Sold	09/01/17	M	E	
41. Schwab Government Money Fund (5289)	A	Interest	M	T					
42. Fidelity Puritan (5289)	D	Dividend	N	T					
43. SPDR Trust S&P 500 Index (5289)	C	Dividend	N	T	Buy (add'l)	12/14/17	M		
44. American Century Equity Income (5289)	C	Dividend			Sold (part)	07/18/17	M	D	
45.					Sold	11/27/17	M	D	
46. Rydex Series Trust S&P 500 Fund Class H (5289)	D	Dividend	M	T	Sold (part)	03/03/17	M	D	
47. Tortoise MLP & Pipeline Fund (5289)		None			Sold	03/17/17	M	D	
48. Guggenheim S&P 500 Pure Value (5289)	A	Dividend			Sold	05/18/17	M	D	
49. SPDR Select Sector-Consumer Discretionary (5289)	A	Dividend			Sold	07/18/17	M	D	
50. iShares Core S&P Small-cAP (5289)	A	Dividend			Sold (part)	04/28/17	K	A	
51.					Sold	05/18/17	M		

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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52. iShares Russell 2000 Index (5289)	A	Dividend			Sold (part)	03/10/17	M	D	
53.					Sold	06/21/17	M	B	
54. SPDR Dow Jones Industrial Average ETF (5289)		None	M	T	Buy	12/20/17	M		
55. iShares Russell 1000 Growth (5289)	A	Dividend	N	T	Buy	11/21/17	M		
56.					Buy (add'l)	11/29/17	M		
57. Rydex Internet Fund (5289)		None	M	T	Buy	05/16/17	M		
58.					Buy (add'l)	05/31/17	M		
59.					Buy (add'l)	07/19/17	M		
60.					Sold (part)	09/06/17	M	D	
61.					Sold (part)	11/30/17	M	D	
62. VanEck Vectors Semiconductor (5289)	B	Dividend	M	T	Buy	11/03/17	M		
63.					Buy (add'l)	11/14/17	M		
64.					Sold (part)	12/01/17	M		
65. Vanguard Financials Index Fund ETF (5289)	B	Dividend	N	T	Buy	12/04/17	M		
66.					Buy (add'l)	12/12/17	M		
67. iShares DJ US IDX Transportation (5289)	A	Dividend	N	T	Buy	10/03/17	M		
68.					Buy (add'l)	10/20/17	M		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69.					Buy (add'l)	12/06/17	M		
70.					Sold (part)	11/13/17	M		
71. John Hancock Funds International Growth (5289)	A	Dividend	N	T	Buy	05/12/17	M		
72.					Buy (add'l)	05/22/17	M		
73.					Buy (add'l)	06/22/17	M		
74. Rydex Biotechnology (5289)		None			Buy	09/08/17	M		
75.					Sold	11/01/17	M		
76. Rydex Financial Services (5289)		None			Buy	08/02/17	M		
77.					Buy (add'l)	08/10/17	M		
78.					Sold (part)	09/07/17	M		
79.					Sold	10/18/17	M	C	
80. SPDR Sector Health (5289)	B	Dividend			Buy	03/08/17	M		
81.					Buy (add'l)	03/15/17	M		
82.					Buy (add'l)	07/21/17	M		
83.					Sold (part)	08/01/17	M	D	
84.					Sold (part)	10/11/17	M	D	
85.					Sold	10/16/17	M	C	

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. iShares Gold Trust (5289)		None			Buy	02/08/17	M		
87.					Sold	05/10/17	M		
88. iShares Nasdaq Biotechnology (5289)		None			Buy	10/18/17	M		
89.					Sold	11/01/17	M		
90. iShares US Basic Materials (5289)	B	Dividend			Buy	09/07/17	M		
91.					Buy (add'l)	09/08/17	M		
92.					Sold (part)	12/08/17	M	D	
93.					Sold	12/12/17	M	D	
94. American Century Equity Income Fund (IRA-1410)	C	Dividend	K	T	Sold (part)	06/07/17	J		
95. Schwab U.S. Treasury Money Funds (IRA-1410)	A	Interest	J	T					
96. PIMCO Foreign Bond (Hedged)-D (IRA-1410)	A	Dividend	K	T					
97. James Balanced Golden Rainbow Fund (IRA-1410)	A	Dividend			Sold	03/28/17	K	A	
98. Fidelity Puritan (IRA-1410)	B	Dividend	K	T					
99. MFS Value Fund A (IRA-1410)	B	Dividend	K	T					
100. Schwab US Small-Cap ETF (IRA-1410)	A	Dividend			Buy (add'l)	02/27/17	J		
101.					Sold (part)	03/28/17	J		
102.					Sold	05/26/17	K		

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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103. Eaton Vance Income Fund of Boston (IRA-1410)	B	Dividend	K	T					
104. Lord Abbett Floating Rate Fund Cl A (IRA-1410)	A	Dividend			Sold	07/17/17	J		
105. Voya Floating Rate Fund Cl A (IRA-1410)	A	Dividend			Sold (part)	06/07/17	J	A	
106.					Sold	10/17/17	K		
107. Jensen Quality Growth (IRA-1410)	A	Dividend	K	T	Buy	06/08/17	K		
108. Columbia Balanced-Class A (IRA-1410)	A	Dividend	K	T	Buy	03/29/17	J		
109.					Buy (add'l)	07/18/17	K		
110. Permanent Portfolio (IRA-1410)	A	Dividend	K	T	Buy	01/30/17	K		
111. American Funds EuroPacific Growth-A (IRA-1410)	B	Dividend	K	T	Buy	04/05/17	K		
112.					Buy (add'l)	05/30/17	J		
113.					Buy (add'l)	10/18/17	J		
114. T. Rowe Price Capital Appreciation (IRA-5055)	B	Dividend	K	T					
115. ICON Industrials Fund Class S (IRA-5055)		None			Sold	06/01/17	K	C	
116. Schwab Government Money Fund (IRA-5055)	A	Interest	J	T					
117. Fidelity Puritan (IRA-5055)	B	Dividend	K	T					
118. Guggenheim S&P 500 Equal Wgt Technology (IRA-5055)	A	Dividend	K	T	Buy (add'l)	12/14/17	K		
119. American Century Equity Income (IRA-5055)	B	Dividend			Sold (part)	11/27/17	K	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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BERNSTEIN, STUART M.

Date of Report

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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)
120.					Sold	12/18/17	K		
121. Columbia Small Cap Index-Class A (IRA-5055)	A	Dividend			Sold	06/21/17	J		
122. Income Fund of America-F (IRA-5055)	A	Dividend			Sold (part)	03/13/17	K	B	
123.					Sold	07/18/17	K	B	
124. Rydex NASDAQ-100 Fund (IRA-5055)	B	Dividend	K	T	Buy	05/12/17	K		
125.					Buy (add'l)	06/02/17	K		
126.					Sold (part)	07/03/17	J		
127. Rydex S&P 500 Pure Value Fund (IRA-5055)		None			Buy (add'l)	02/13/17	J		
128.					Sold (part)	03/29/17	J		
129.					Sold	05/18/17	K		
130. ProFunds Consumer Services Ultra Sector (IRA-5055)		None			Sold	07/18/17	K	B	
131. Rydex Telecommunications (IRA-5055)		None			Sold	02/02/17	K	B	
132. Tortoise MLP & Pipeline Fund (IRA-5055)		None			Sold	03/17/17	K	B	
133. Guggenheim Equal Weight-Industrials (IRA-5055)	A	Dividend			Sold	09/06/17	K	B	
134. iShares Russell 2000 Index (IRA-5055)	A	Dividend			Sold (part)	03/10/17	J	A	
135.					Sold	05/18/17	K		
136. SPDR S&P 500 Index (IRA-5055)		None	K	T	Buy	12/20/17	K		

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		

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Date of Report

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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)
137. iShares Russell 1000 Growth (IRA-5055)	A	Dividend	K	T	Buy	11/20/17	K		
138.					Buy (add'l)	11/29/17	K		
139. Rydex Electronics (IRA-5055)	A	Dividend	K	T	Buy	11/02/17	K		
140.					Buy (add'l)	11/13/17	K		
141.					Sold (part)	12/01/17	K		
142. Rydex Transportation (IRA-5055)	A	Dividend	K	T	Buy	10/12/17	K		
143.					Buy (add'l)	10/19/17	K		
144.					Buy (add'l)	12/05/17	K		
145.					Sold (part)	11/03/17	K		
146. First Trust DJ Internet Index Fund (IRA-5055)		None	K	T	Buy	05/19/17	K		
147.					Buy (add'l)	06/02/17	K		
148.					Buy (add'l)	07/21/17	K		
149.					Sold (part)	09/01/17	K	A	
150.					Sold (part)	11/30/17	K	B	
151. SPDR Sector-Financial (IRA-5055)	A	Dividend	K	T	Buy	12/04/17	K		
152.					Buy (add'l)	12/12/17	K		
153. John Hancock Funds International Growth (IRA-5055)	A	Dividend	L	T	Buy	03/30/17	K		

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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BERNSTEIN, STUART M.

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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)
154.					Buy (add'l)	05/22/17	J		
155.					Buy (add'l)	06/22/17	K		
156. Rydex Basic Materials (IRA-5055)	A	Dividend			Buy	09/05/17	K		
157.					Buy (add'l)	09/07/17	K		
158.					Sold (part)	12/08/17	K	A	
159.					Sold (part)	12/12/17	K	A	
160.					Sold	12/13/17	J	A	
161. Guggenheim Equal Weight-Healthcare (IRA-5055)	A	Dividend			Buy	03/08/17	K		
162.					Buy (add'l)	03/15/17	K		
163.					Buy (add'l)	07/21/17	J		
164.					Sold (part)	08/01/17	K	B	
165.					Sold (part)	10/11/17	K	B	
166.					Sold	10/13/17	K	A	
167. Rydex Biotechnology (IRA-5055)		None			Buy	09/08/17	K		
168.					Buy (add'l)	10/16/17	K		
169.					Sold (part)	11/01/17	J		
170.					Sold	11/10/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	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

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Name of Person Reporting

BERNSTEIN, STUART M.

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05/09/2018

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)
171. Rydex Financial Services (IRA-5055)		None			Buy	07/05/17	K		
172.					Buy (add'l)	08/02/17	K		
173.					Sold	09/07/17	J		
174.					Sold	10/18/17	K	A	
175. SPDR Gold Shares (IRA-5055)		None			Buy	02/07/17	K		
176.					Sold	05/10/17	K		
177. Trust # 1									
178. - JP MorganChase Bank Account	A	Interest	J	T					
179. -John Hancock Life Insurance Policy	D	Interest	M	U					
180.									
181.									
182.									
183.									
184.									
185.									
186.									
187.									

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		

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BERNSTEIN, STUART M.

Date of Report

05/09/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
188.									
189.									
190.									
191.									
192.									
193.									
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195.									
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197.									
198.									
199.									
200.									
201.									
202.									
203.									
204.									

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	
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BERNSTEIN, STUART M.

Date of Report

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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)
205.									
206.									
207.									
208.									
209.									
210.									
211.									
212.									
213.									
214.									
215.									
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217.									
218.									
219.									
220.									
221.									

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		

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BERNSTEIN, STUART M.

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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)
222.									
223.									

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		

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

All information and explanations relate to Part VII:

Lines 8: As a retiree, my spouse receives monthly distributions from the Keogh (Target) Plan. The aggregate amount of the monthly distributions in 2017 is listed in column "D(3)" as having been made on December 31, 2017.

Line 10: As a retiree, my spouse received monthly distributions from her Capital "C." The aggregate amount of the monthly distributions in 2017 is listed in column "D(3)" as having been made on December 31, 2017. The balance in this account is zero, there will be no further withdrawals, and this account will not be listed in future reports.

Line 11: No contributions were made to the Capital "A" account in 2017.

lines 12-176: I maintain two IRA brokerage accounts and my spouse and I maintain two brokerage accounts held as tenants in common with Charles Schwab. The report identifies the security that is the subject of the reported transaction with a parenthetical reference that identifies the last four digits of the account number and whether the account is an IRA account. Where multiple purchases or sales were made during the year, the aggregate amount of the income, if any, and the value of the asset (if held at the end of the reporting period) are reported on the first line on which the asset is listed.

line 179: The John Hancock Life Insurance Policy is a Flexible Premium Survivorship Universal Life ("Second to Die") policy that my spouse and I maintain for the benefit of our son. I am not aware of any investment options and have never directed any investments. In addition, the value listed in column c(2) is the gross value and does not reflect the substantial "surrender charge" in the event that the policy is cancelled.

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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/ STUART M. BERNSTEIN

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