

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) Koeltl, John G.	2. Court or Organization U.S.D.C. Southern District-NY	3. Date of Report 05/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 United States Courthouse 500 Pearl St. Room 1030 New York, New York 10007-1581		
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 LAW PROFESSOR	NY UNIVERSITY LAW SCHOOL
2. EXECUTOR (CO-EXECUTOR)	ESTATE OF [REDACTED] MEMBER-POSITION HELD UNTIL 04/30/13- DATE ESTATE CLOSED UPON FINAL DISTRIBUTION OF ASSETS TO BENEFICIARIES.-PART VIII NOTE
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 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

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. 2013	NEW YORK UNIVERSITY - TEACHING	\$26,955.00
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.	
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	April 25,2013 - April 25,2013	Chicago, IL	ABA Conference	Meals and travel
2. American Bar Association	June 14,2013 - June 15,2013	Newport, RI	ABA Conference	Lodging, meals and travel
3. New York Council of Defense Lawyers	September 20,2013 - September 21,2013	Rye, NY	Annual Retreat	Lodging, meals and travel
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

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. JOHNSON & JOHNSON - (COMMON)	D	Dividend	M	T	Donated (part)				
2. PFIZER INC. - (COMMON)	C	Dividend	M	T					
3. ROYAL DUTCH SHELL PLC - (COMMON)	D	Dividend	M	T					
4. FEDERATED KAUFMANN LARGE CAP FUND CL C - MUTUAL FUND	A	Dividend	J	T	Buy	01/23/13	J		
5. FRANKLIN INCOME FUND CL C - MUTUAL FUND	C	Dividend	L	T	Buy (add'l)	01/16/13	K		
6. OPPENHEIMER DEV. MARKETS FUND CL C - MUTUAL FUND	A	Dividend	L	T					
7. CGM ADVISOR TARGETED EQUITY FUND CL C - MUTUAL FUND		None			Sold	01/23/13	J		
8. TEMPLETON GLOBAL BOND FUND CL C - MUTUAL FUND	C	Dividend	M	T					
9. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A - MUTUAL FUND	D	Dividend	M	T	Buy (add'l)	01/16/13	J		Formerly Rochester Ltd
10. MERRILL LYNCH FIA MONEY FUND - N.Y., N.Y.	A	Interest	K	T	Sold (part)	12/31/13	K		Net Decrease To MM Fund
11. N.Y. STATE ENGY RESH BOND 5.5% DUE 01/01/21	C	Interest	L	T					
12. N.Y. STATE MTG ACGY REV BOND 5.05% DUE 10/01/17	A	Interest			Redeemed	08/29/13	J		
13. N.Y. STATE SER C BOND 4.4% DUE 04/15/21	A	Interest			Redeemed	04/18/13	K		
14. N.Y. STATE NY SER F BOND 5.3% DUE 01/15/26	A	Interest			Redeemed (part)	01/15/13	K		
15.					Redeemed	11/15/13	J		
16. NY NY CY TRANSTNL FIN ATRV BOND 5% DUE 02/01/33	B	Interest			Redeemed	02/01/13	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

Koehl, John G.

Date of Report

05/06/2014

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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)

17. SUFFOLK CTY BOND 4.125% DUE 11/01/21	B	Interest	L	T					
18. DUTCHESS CTY BOND 4.5% DUE 08/01/26	B	Interest	K	T					
19. NY ST DORM AT RV ST BOND 5% DUE 02/15/24	B	Interest	K	T	Sold (part)	03/06/13	K	C	
20. NY ST DORM AT RV ST BOND 5% DUE 02/15/27	B	Interest	L	T					
21. NEW YORK ST HFA PERS INC BOND 5% DUE 09/15/30	B	Interest	K	T					
22. NEW YORK NY SUBSER SER C-1 BOND 4.5% DUE 10/01/23	B	Interest	K	T					
23. N.Y. STATE DORM. AUTH. REV MEM SLOAN BOND 5% DUE 07/01/26	B	Interest	K	T					
24. TRIBOR. BRIDGE & TUNNEL BOND 4.75% DUE 11/15/30	B	Interest	L	T					
25. NEW YORK NY SUBSER J-1 BOND 5% DUE 05/15/31	B	Interest	L	T					
26. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/32	A	Interest			Redeemed (part)	02/14/13	K	A	
27.					Redeemed	12/20/13	J	A	
28. N.Y. CITY MUN WTR BOND 5% DUE 06/15/34	B	Interest			Sold	04/26/13	L	A	
29. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/36	B	Interest	L	T					
30. N.Y. CITY MUN WTR BOND 4.75% DUE 06/15/37	C	Interest	L	T					
31. TRIBOR. BRIDGE & TUNNEL BOND 5% DUE 11/15/37	C	Interest	L	T					
32. N.Y. CITY MUN WTR BOND 5% DUE 06/15/38	B	Interest	L	T					
33. N.Y. STATE HSG FIN AGY BOND 4.9% DUE 11/01/38	B	Interest	L	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 15

Name of Person Reporting

Koeltl, John G.

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05/06/2014

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34. N.Y. CITY MUN ATR BOND 4.5% DUE 06/15/39	C	Interest	L	T					
35. LONG ISLAND PWR AUTH NY BOND 4.25% DUE 05/01/33	B	Interest	K	T					
36. THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29	B	Interest	K	T					
37. N.Y. STATE CLN-DRNG WTR BOND 5% DUE 06/15/36	C	Interest	L	T					
38. NEW YORK ST SER E OID BOND 4% DUE 12/15/37	B	Interest	K	T					
39. HUDSON YDS INFRA NY BOND 5% DUE 02/15/47	C	Interest	L	T					
40. HAVERSTRAW NY IMPT BOND 3.50% DUE 06/15/34	C	Interest	K	T					
41. CITIBANK CHECKING ACCOUNT - N.Y.,N.Y.		None	J	T					
42. MERRILL LYNCH (IRA ACCOUNT) - CGM ADVISOR EQUITY FUND CL C		None			Sold	01/28/13	J		
43. MERRILL LYNCH (IRA ACCOUNT) - FEDERATED KAUFMANN LARGE CAP FUND CL C	A	Dividend	K	T	Buy	01/28/13	J		
44. MERRILL LYNCH (IRA ROLLOVER) - ML BANK CASH ACCOUNT	A	Interest	M	T	Sold (part)	12/31/13	L		Net Decrease to MM Fund
45. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP. APPREC. FUND CL A	D	Dividend	M	T	Buy (add'l)	12/19/13	J		
46. MERRILL LYNCH (IRA ROLLOVER) - MFS VALUE FUND CL C	B	Dividend	L	T					
47. MERRILL LYNCH(IRA ROLLOVER)-MAINSTAY LARGE CAP FUND CL C	E	Dividend	N	T	Buy (add'l)	12/05/13	K		
48. MERRILL LYNCH(IRA ROLLOVER)-ALGER CAP APPREC FUND CL C	E	Dividend	M	T	Buy (add'l)	12/19/13	K		
49. MERRILL LYNCH(IRA ROLLOVER)-LOOMIS SAYLES INV BOND FD CL C	D	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

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50. MERRILL LYNCH(IRA ROLLOVER)- PIMCO COMM RR STRATEGY FD CL C	A	Dividend	K	T					
51. MERRILL LYNCH(IRA ROLLOVER)- BLACKROCK GLOBAL ALLOC FUND C	D	Dividend	M	T	Sold (part)	01/28/13	K	C	
52. MERRILL LYNCH(IRA ROLLOVER)- OPPENHEIMER DEV. MKTS FUND CL C	A	Dividend	L	T	Buy	11/04/13	K		
53. MERRILL LYNCH(IRA ROLLOVER)- FED. KAUFMAN LRG CAP FUND CL C	C	Dividend	M	T	Buy (add'l)	02/07/13	J		
54.					Buy (add'l)	03/07/13	J		
55.					Buy (add'l)	03/08/13	K		
56.					Buy (add'l)	04/04/13	J		
57.					Buy (add'l)	05/09/13	J		
58.					Buy (add'l)	06/06/13	J		
59.					Buy (add'l)	07/05/13	J		
60. MERRILL LYNCH(IRA ROLLOVER)- OPPENHEIMER RISING DIV FUND CL C	E	Dividend	M	T	Sold (part)	01/24/13	K	C	
61.					Buy (add'l)	02/07/13	J		
62.					Buy (add'l)	03/07/13	J		
63.					Buy (add'l)	04/04/13	J		
64. MERRILL LYNCH(IRA ROLLOVER)- BLACKROCK EQUITY DIV FUND CL A	B	Dividend			Sold	11/04/13	L	D	
65. MERRILL LYNCH(IRA ROLLOVER)- BLACKROCK EQUITY DIV. FUND CL C	A	Dividend			Sold	11/04/13	M	D	
66. MERRILL LYNCH(IRA ROLLOVER)- ISHARES RUSSELL 1000 FUND	B	Dividend	M	T	Buy	11/04/13	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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FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

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67. MERRILL LYNCH(IRA ROLLOVER)- TEMPLETON GLOBAL BOND FUND CL C	B	Dividend	L	T	Buy	01/28/13	K		
68.					Buy (add'l)	02/07/13	J		
69.					Buy (add'l)	03/07/13	J		
70.					Buy (add'l)	04/04/13	J		
71.					Buy (add'l)	05/09/13	J		
72.					Buy (add'l)	06/06/13	J		
73.					Buy (add'l)	07/05/13	J		
74. MICHAEL NAYLOR, PERSONAL LOAN		None			Buy (add'l)	04/26/13	J		Addition personal loan
75.					Closed	07/17/13	K		Personal loans repaid
76. ESTATE	E	Int./Div.			Closed	04/30/13	P1		See note in Part VIII
77. -MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS)									
78. -NEW YORK NY SER P BOND 4.25% DUE 08/01/25									
79. -TRIBOR BRIDGE & TUNNEL BOND 5% DUE 11/15/32					Redeemed	02/14/13	J		
80. -ALTRIA GROUP INC (COMMON)									
81. -AMN ELEC POWER CO. (COMMON)									
82. -AT&T (COMMON)					Sold (part)	03/26/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 15

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83. -BP PLC SPON ADR (COMMON)					Sold (part)	03/26/13	J		
84. -CHEVRON CORP (COMMON)									
85. -CONSOLIDATED EDISON INC. (COMMON)									
86. -DE MASTERS BLENDERS (COMMON)									
87. -DAIMLER A (COMMON)									
88. -DIEBOLD INC. (COMMON)									
89. -DOMINION RESOURCES INC. (COMMON)									
90. -DUKE ENERGY CORP. (COMMON)									
91. -EDISON INT'L CALIF (COMMON)									
92. -EXELON CORP. (COMMON)									
93. -EXXON MOBIL CORP. (COMMON)									
94. -GENERAL ELECTRIC (COMMON)									
95. -HERSHEY CO. (COMMON)									
96. -HESS CORP. (COMMON)									
97. -HILLSHIRE BRANDS CO. (COMMON)									
98. -HONEYWELL INT'L INC. (COMMON)									
99. -KRAFT FOODS INC. (COMMON)					Sold (part)	03/26/13	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 15

Name of Person Reporting

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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 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)
100. -LSI CORP. (COMMON)					Sold	03/26/13	J		
101. -MARATHON OIL CORP. (COMMON)									
102. -MONDELEZ INTERNATIONAL INC. (COMMON)					Sold (part)	03/26/13	J		
103. -NORTHEAST UTILITIES (COMMON)									
104. -OCCIDENTAL PETROLEUM CORP. CAL (COMMON)									
105. -PEPCO HOLDINGS INC. (COMMON)					Sold (part)	03/26/13	J		
106. -PHILIP MORRIS INT'L INC. (COMMON)									
107. -PUBLIC SERVICE ENTERPRISE GROUP (COMMON)									
108. -ROCKWELL AUTOMATION INC. (COMMON)									
109. -ROCKWELL COLLINS INC. (COMMON)									
110. -SOUTHERN COMPANY (COMMON)									
111. -SPECTRA ENERGY CORP. (COMMON)									
112. -VERIZON COMM. (COMMON)					Sold (part)	03/26/13	J		
113. -VODAPHONE GROUP PLC (COMMON)									
114. -DWS NEW YORK TAX FREE INCOME FUND CL A (MUTUAL FUND)									
115. -FEDERATED FUND FOR U.S. GOV'T SECURITIES CL A (MUTUAL FUND)									
116. -FEDERATED MUNICIPAL SECURITIES FUND CL A (MUTUAL FUND)									

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 11 of 15

Name of Person Reporting

Koehl, John G.

Date of Report

05/06/2014

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)
117. -FRANKLIN U.S. GOV'T SECURITIES FUND CL C (MUTUAL FUND)									
118. -FRANKLIN U.S. GOV'T SECURITIES FUND CL A (MUTUAL FUND)									
119. -OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND)									
120. -WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)									
121. MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS) -(X)	A	Interest	K	T					
122. NEW YORK NY SER P BOND 4.25% DUE 08/01/25 - (X)	A	Interest	J	T					
123. ALTRIA GROUP INC (COMMON) - (X)	C	Dividend	M	T					
124. AMN ELEC POWER CO. (COMMON) - (X)	A	Dividend	K	T					
125. AT&T (COMMON) - (X)	A	Dividend	K	T					
126. BP PLC SPON ADR (COMMON) - (X)	A	Dividend	J	T					
127. CHEVRON CORP (COMMON) -(X)	A	Dividend	J	T					
128. CONSOLIDATED EDISON INC. (COMMON) - (X)	A	Dividend	J	T					
129. DE MASTERS BLENDERS (COMMON) - (X)		None	J	T					
130. DAIMLER A (COMMON) - (X)		None	J	T					
131. DIEBOLD INC. (COMMON) - (X)	A	Dividend	J	T					
132. DOMINION RESOURCES INC. (COMMON) - (X)	A	Dividend	K	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 12 of 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

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)
133. DUKE ENERGY CORP. (COMMON) - (X)	A	Dividend	J	T					
134. EDISON INT'L CALIF (COMMON) - (X)	A	Dividend	J	T					
135. EXELON CORP. (COMMON) - (X)	A	Dividend	J	T					
136. EXXON MOBIL CORP. (COMMON) - (X)	A	Dividend	K	T					
137. GENERAL ELECTRIC (COMMON) - (X)	A	Dividend	K	T					
138. HERSHEY CO. (COMMON) - (X)	A	Dividend	K	T	Buy (add'l)	05/13/13	J		
139. HESS CORP. (COMMON) - (X)	A	Dividend	K	T	Buy (add'l)	05/13/13	K		
140. HILLSHIRE BRANDS CO. (COMMON) - (X)	A	Dividend	J	T					
141. HONEYWELL INT'L INC. (COMMON) - (X)	A	Dividend	K	T					
142. KRAFT FOODS INC. (COMMON) - (X)	A	Dividend	L	T					
143. MARATHON OIL CORP. (COMMON) - (X)	A	Dividend	J	T					
144. MONDELEZ INTERNATIONAL INC. (COMMON) - (X)	A	Dividend	M	T					
145. NORTHEAST UTILITIES (COMMON) - (X)	A	Dividend	J	T					
146. OCCIDENTAL PETROLEUM CORP. CAL (COMMON) - (X)	A	Dividend	K	T	Buy (add'l)	05/13/13	K		
147. PEPCO HOLDINGS INC. (COMMON) - (X)	A	Dividend	J	T					
148. PHILIP MORRIS INT'L INC. (COMMON) - (X)	D	Dividend	N	T					
149. PUBLIC SERVICE ENTERPRISE GROUP (COMMON) - (X)	B	Dividend	L	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 13 of 15

Name of Person Reporting

Koeltl, John G.

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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.)

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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)
150. ROCKWELL AUTOMATION INC. (COMMON) - (X)	A	Dividend	K	T					
151. ROCKWELL COLLINS INC. (COMMON) - (X)	A	Dividend	K	T					
152. SOUTHERN COMPANY (COMMON) - (X)	A	Dividend	K	T					
153. SPECTRA ENERGY CORP. (COMMON) - (X)	A	Dividend	K	T	Buy (add'l)	05/13/13	K		
154. VERIZON COMM. (COMMON) - (X)	A	Dividend	K	T	Buy (add'l)	05/13/13	K		
155. VODAPHONE GROUP PLC (COMMON) - (X)	B	Dividend	K	T	Buy (add'l)	05/13/13	K		
156. DWS NEW YORK TAX FREE INCOME FUND CL A (MUTUAL FUND) - (X)	A	Dividend	J	T					
157. FEDERATED FUND FOR U.S. GOV'T SECURITIES CL A (MUTUAL FUND) - (X)	A	Dividend	K	T					
158. FEDERATED MUNICIPAL SECURITIES FUND CL A (MUTUAL FUND) - (X)	A	Dividend	K	T					
159. FRANKLIN U.S. GOV'T SECURITIES FUND CL C (MUTUAL FUND) - (X)	A	Dividend	J	T					
160. FRANKLIN U.S. GOV'T SECURITIES FUND CL A (MUTUAL FUND) - (X)	A	Dividend	K	T					
161. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND) - (X)	A	Dividend	J	T					
162. WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND) - (X)	A	Dividend	J	T					
163. OPPEN. ROCHESTER LIMITED TERM NY MUNI BOND FUND C (MUTUAL FUND)	B	Dividend	L	T	Buy	05/13/13	L		
164.									

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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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 14 of 15

Name of Person Reporting	Date of Report
Koeltl, John G.	05/06/2014

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

Estate assets reported in aggregate summary form on line 76 (with corresponding detail of seperate asset holdings reported on lines 77 - 120) relate to the estate of a [REDACTED] member for which I was a co-executor and one of the remainderman beneficiaries. The estate closed on April 30, 2013, when distribution of estate assets were made to the individual beneficiaries. My allocable share of the estate assets distributed to me have been reported on lines 121 - 162 and are denoted with a parenthetical (X).

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Koeltl, John G.

Date of Report

05/06/2014

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/ John G. Koeltl**

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