

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Abrams, Ronnie                                                                                                        | <b>2. Court or Organization</b><br><br>Southern District of New York                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>05/07/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>District Judge - Active Status                              | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>40 Foley Square<br>New York, NY 10007-1312                                                                                                     |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. 2014

Davis Polk &amp; Wardwell LLP - K1

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.)

| 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.       |             |            |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Andres Family Partnership                                                                                                | D                                       | Int./Div.                                     | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Rosbur Corporation                                                                                                       | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Silk & Halpern Reserve LLC                                                                                               | D                                       | Rent                                          | J                                               | U                                         | Closed                                          | 06/30/14                |                                 |                                |                                                                   |
| 4. First Manhattan Co Equity Mutual Funds                                                                                   |                                         | None                                          |                                                 |                                           | Closed                                          |                         |                                 |                                |                                                                   |
| 5. 719 Seventh Ave (X)                                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 07/01/14                | P1                              | H1                             |                                                                   |
| 6. Citibank Cash Accounts                                                                                                   | A                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Credit Suisse - Taxable Accounts (H)                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 8. Credit Suisse - MMA - Cash                                                                                               | A                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Delaware Diversified Income Fund                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Sterling Capital Equity Income Fund - Institutional Class                                                               | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Cullen International High Dividend Fund - Institutional Class                                                           | B                                       | Dividend                                      | L                                               | T                                         | Buy (add'l)                                     | 10/31/14                | K                               |                                |                                                                   |
| 12. Wells Fargo Advantage Emerging Markets Equity Fund                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 10/30/14                | K                               | A                              |                                                                   |
| 13. Lord Abbett Intermediate Tax Free Fund - Class F                                                                        | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Lateef Fund Class I                                                                                                     | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. IRA # 1 (H)                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 16. Sterling Capital Equity Income Fund - Institutional Class                                                               | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Cullen International High Dividend Fund - Institutional Class                                                           | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                   |   |          |   |   |             |          |   |   |  |
|-------------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 18. Doubleline Total Return Bond Fund - Class I                   | B | Dividend | K | T | Sold (part) | 04/17/14 | J | A |  |
| 19. Eaton Vance Floating Rate High Income Institutional Class     | B | Dividend | K | T | Buy (add'l) | 10/30/14 | J |   |  |
| 20. Wells Fargo Advantage Emerging Markets Equity Fund - Class I  | A | Dividend | K | T |             |          |   |   |  |
| 21. Harbor High Yield Fund - Instl Class                          | A | Dividend | K | T | Sold (part) | 07/16/14 | J | A |  |
| 22.                                                               |   |          |   |   | Sold (part) | 10/30/14 | J | A |  |
| 23. Lateef Fund Class I                                           |   | None     | M | T |             |          |   |   |  |
| 24. Pimco Total Return Fund - Class P                             | D | Dividend | M | T | Sold (part) | 01/14/14 | J | A |  |
| 25.                                                               |   |          |   |   | Sold (part) | 10/10/14 | J | A |  |
| 26.                                                               |   |          |   |   | Sold (part) | 10/17/14 | J | A |  |
| 27. Inherited IRA (H)                                             |   |          |   |   |             |          |   |   |  |
| 28. Lateef Fund Class I                                           | C | Dividend | L | T |             |          |   |   |  |
| 29. Cullen International High Dividend Fund - Institutional Class | A | Dividend | J | T |             |          |   |   |  |
| 30. Credit Suisse Floating Rate High Income Fund - Class I        | A | Dividend | J | T |             |          |   |   |  |
| 31. Doubleline Total Return Bond Fund - Class I                   | A | Dividend | J | T | Sold (part) | 04/17/14 | J | A |  |
| 32.                                                               |   |          |   |   | Sold (part) | 10/10/14 | J | A |  |
| 33. Harbor High Yield Bond Fund - Instl Class                     | A | Dividend | J | T | Sold (part) | 01/14/14 | J | A |  |
| 34.                                                               |   |          |   |   | Sold (part) | 07/17/14 | J | A |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                             |   |           |   |   |  |  |  |  |  |
|-------------------------------------------------------------|---|-----------|---|---|--|--|--|--|--|
| 35. DPW 401K Plan - Morgan Stanley Core Plus Fixed Inc      | A | Int./Div. | K | T |  |  |  |  |  |
| 36. DPW 401K Plan - Spartan 500 Index Fund                  | A | Int./Div. | M | T |  |  |  |  |  |
| 37. DPW HR10 Plan - Oakmark Equity & Income Fund            | A | Int./Div. | L | T |  |  |  |  |  |
| 38. NYS 529 College Savings Plans - Managed by Vanguard (H) |   |           |   |   |  |  |  |  |  |
| 39. Developed Market Index                                  | B | Int./Div. | J | T |  |  |  |  |  |
| 40. Growth Stock Index Portfolio                            | B | Int./Div. | J | T |  |  |  |  |  |
| 41. Value Stock Index Portfolio                             | B | Int./Div. | J | T |  |  |  |  |  |
| 42. Small Cap Stock Index                                   | B | Int./Div. | J | T |  |  |  |  |  |
| 43.                                                         |   |           |   |   |  |  |  |  |  |
| 44.                                                         |   |           |   |   |  |  |  |  |  |
| 45.                                                         |   |           |   |   |  |  |  |  |  |
| 46.                                                         |   |           |   |   |  |  |  |  |  |
| 47.                                                         |   |           |   |   |  |  |  |  |  |
| 48.                                                         |   |           |   |   |  |  |  |  |  |
| 49.                                                         |   |           |   |   |  |  |  |  |  |
| 50.                                                         |   |           |   |   |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

The account listed on Line 4 - First Manhattan Co was closed in 2013. There was no income in 2014.

The Mid-Cap Stock Index Portfolio and the Bond Market Portfolio were both listed in 2013 under the NYS 529 Plan Savings Account. They were both sold on 3/13/13.

The American Funds Growth Fund of America was listed in 2013 under the DPW 401K Plan. It was liquidated on 3/25/13.

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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/ Ronnie Abrams**

**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