

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) BERNSTEIN, STUART M.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/9/2017
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 01/01/2016 to 12/31/2016
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	
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. 2016	Pension
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. American Bankruptcy Institute	2/4-6/2016	San Juan, P.R.	Participation in conference - "2016 Caribbean Insolvency Symposium"	Meals, lodging & transportation
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)	A	Dividend	N	T					
3. -- T. Rowe Price Personal Strat Balanced (401k)	D	Dividend	N	T					
4. JP Morgan Chase Bank Accounts	A	Interest	N	T					
5. Citibank Accounts	A	Interest	P1	T					
6. Citibank Account	A	Interest	N	T					
7. Citibank Account	A	Interest	M	T					
8. Keogh (Target) Plan--Plan I	E	Int./Div.	O	T	Distributed (part)	12/31/16	K		
9. Phoenix Life Insurance (Whole Life)	B	Dividend	K	T					
10. Defined Benefit Trust--Qualified Plan II		None			Distributed (part)	12/31/16	M		
11. Non-Deductible Contribution Plan III (Capital "C" Account)		None	M	T	Distributed (part)	12/31/16	N		
12. Capital "A" Account		None	O	T	Distributed (part)	02/01/16	M		
13. Schwab US Treasury Money Fund	A	Interest	O	T					
14. PIMCO Foreign Bond (Hedged)-D	D	Dividend	N	T	Buy (add'l)	03/04/16	M		
15.					Sold (part)	11/16/16	M		
16. Metropolitan West Total Return Bond Fund	D	Dividend			Sold (part)	11/10/16	M	C	
17.					Sold	12/15/16	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 \$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. Ivy Municipal High Income Fund	E	Dividend			Sold (part)	11/14/16	M	D	
19.					Sold (part)	11/18/16	M		
20.					Sold	11/28/16	M		
21. T. Rowe Price Capital Appreciation	D	Dividend	N	T	Buy (add'l)	05/27/16	M		
22.					Sold (part)	11/02/16	M	E	
23. FPA Crescent		None			Sold	02/16/16	M		
24. American Century Equity Income Fund	E	Dividend	N	T	Buy (add'l)	06/09/16	M		
25. Voya Corporate Leaders 100 Fund Class A		None			Sold (part)	01/13/16	M		
26.					Sold	01/20/16	M		
27. AQR Managed Funds Strategy Fund CL N		None			Sold	04/27/16	M		
28. Invesco Diversified Dividend - A	D	Dividend	N	T	Buy	03/31/16	M		
29.					Buy (add'l)	05/11/16	M		
30. Permanent Portfolio	B	Dividend	M	T	Buy	03/18/16	M		
31. Vanguard Div Appreciation	B	Dividend	N	T	Buy	11/29/16	M		
32.					Buy (add'l)	12/12/16	M		
33. iShares Russell 2000 Index		None	M	T	Buy	12/30/16	M		
34. Black Rock Floating Rate Income Inv A	D	Dividend	N	T	Buy	04/28/16	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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35.					Buy (add'l)	11/14/16	M		
36. Lord Abbett Floating Rate Fund C1 A	A	Dividend	M	T	Buy	12/19/16	M		
37. Black Rock High Yield Bond	E	Dividend	N	T	Buy	03/28/16	M		
38.					Buy (add'l)	04/20/16	M		
39. T. Rowe Price Capital Appreciation	D	Dividend	N	T	Buy (add'l)	04/29/16	L		
40. SPDR Sector-Industrials	C	Dividend	M	T	Buy	04/18/16	M		
41.					Buy (add'l)	07/19/16	M		
42. Schwab Government Money Fund	A	Interest	M	T					
43. Rydex Consumer Products		None			Sold (part)	01/21/16	L		
44.					Sold (part)	09/29/16	M	D	
45.					Sold	11/10/16	M	D	
46. Fidelity Puritan	D	Dividend	M	T	Buy (add'l)	11/14/16	M		
47.					Sold (part)	02/19/16	M		
48. SPDR Sector-Technology		None			Sold (part)	01/06/16	M		
49.					Sold	01/11/16	M		
50. SPDR Trust S&P 500 Index	B	Dividend	N	T	Sold (part)	01/07/16	L		
51.					Sold (part)	01/15/16	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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52.					Sold	01/19/16	M		
53.					Buy	11/22/16	M		
54. American Century Equity Income	E	Dividend	M	T	Buy	03/23/16	M		
55.					Buy (add'l)	03/30/16	M		
56.					Buy (add'l)	05/18/16	M		
57.					Sold (part)	11/02/16	M	D	
58. Rydex Series Trust S&P 500 Fund Class H	B	Dividend	M	T	Buy	07/19/16	M		
59.					Buy (add'l)	07/27/16	M		
60. Tortoise MLP & Pipeline Fund	A	Dividend	M	T	Buy	06/09/16	M		
61. Guggenheim S&P 500 Pure Value	C	Dividend	M	T	Buy	03/17/16	M		
62.					Buy (add'l)	04/22/16	M		
63.					Sold (part)	06/27/16	L		
64. SPDR Select Sector-Consumer Discretionary	A	Dividend	M	T	Buy	11/29/16	M		
65. iShares Core S&P Small-cap	A	Dividend	M	T	Buy	12/20/16	M		
66. iShares Russell 2000 Index	A	Dividend	M	T	Buy	11/16/16	M		
67.					Buy (add'l)	12/13/16	M		
68. iShares U.S. Telecommunications ETF	B	Dividend			Buy	03/09/16	M		

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69.					Sold	08/19/16	M	D	
70. Deutsche Global Infrastructure Fund C1 S [REDACTED]	A	Dividend			Buy	07/21/16	M		
71.					Sold	11/10/16	M		
72. BlackRock Health Sciences Opportunities [REDACTED]		None			Buy	08/04/16	M		
73.					Sold	10/31/16	M		
74. American Century Equity Income Fund (IRA-[REDACTED])	C	Dividend	K	T	Sold	01/20/16	J		
75.					Buy	05/27/16	J		
76.					Buy (add'l)	11/17/16	J		
77. Schwab U.S. Treasury Money Funds (IRA-[REDACTED])	A	Interest	K	T					
78. Metropolitan West Total Return Bond Fund (IRA-[REDACTED])	A	Dividend			Sold (part)	11/10/16	J	A	
79.					Sold	11/16/16	J		
80. PIMCO Foreign Bond (Hedged)-D (IRA-[REDACTED])	A	Dividend	K	T	Buy (add'l)	03/04/16	J		
81.					Sold (part)	11/17/16	K		
82. T. Rowe Price Capital Appreciation (IRA-[REDACTED])		None			Sold	02/11/16	J		
83. Rydex Consumer Products (IRA-[REDACTED])		None			Buy (add'l)	05/11/16	J		
84.					Sold (part)	01/13/16	J	A	
85.					Sold (part)	09/16/16	J	A	

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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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86.					Sold	11/16/16	J		
87. DoubleLine Total Return Bond (IRA-)	B	Dividend			Sold (part)	11/18/16	J		
88.					Sold (part)	11/10/16	J		
89.					Sold	12/15/16	J		
90. James Balanced Golden Rainbow Fund (IRA-)	A	Dividend	K	T	Buy (add'l)	03/31/16	J		
91.					Sold (part)	11/02/16	J		
92. Fidelity Puritan (IRA-)	A	Dividend	K	T	Buy	11/14/16	K		
93. MFS Value Fund A (IRA-)	A	Dividend	K	T	Buy	11/25/16	J		
94.					Buy (add'l)	12/08/16	J		
95. Permanent Portfolio (IRA-)	A	Dividend	J	T	Buy	03/07/16	J		
96. Schwab US Small-Cap ETF (IRA-)		None	J	T	Buy	12/30/16	J		
97. Eaton Vance Income Fund of Boston (IRA-)	B	Dividend	K	T	Buy	03/29/16	J		
98.					Buy (add'l)	04/20/16	J		
99. Lord Abbett Floating Rate Fund CI A (IRA-)	A	Dividend	J	T	Buy	12/16/16	J		
100. Voya Floating Rate Fund CI A (IRA-)	A	Dividend	K	T	Buy	04/28/16	J		
101.					Buy (add'l)	11/14/16	J		
102. Deutsche Global Infrastructure Fund CI S (IRA-)	A	Dividend			Buy	06/09/16	J		

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103.					Sold	11/03/16	J		
104. Longboard Managed Futures Strategy Fund (IRA-)		None			Sold	04/22/16	J		
105. T. Rowe Price Capital Appreciation (IRA-)	A	Dividend	K	T	Buy (add'l)	04/29/16	J		
106.					Sold (part)	01/20/16	J		
107.					Sold (part)	11/02/16	K	A	
108. ICON Industrials Fund Class S (IRA-)		None	K	T	Buy	04/14/16	J		
109. Schwab Government Money Fund (IRA-)	A	Interest	K	T					
110. Fidelity Puritan (IRA-)	A	Dividend	K	T	Sold	01/08/16	J		
111.					Buy	11/14/16	J		
112. Rydex S&P 500 Pure Growth (IRA-)		None			Sold	01/06/16	J		
113. Rydex Consumer Products (IRA-)		None			Sold (part)	09/12/16	K	B	
114.					Sold	10/11/16	J	A	
115. Guggenheim S&P 500 Equal Wgt Technology (IRA-)	A	Dividend	K	T	Sold (part)	01/07/16	J		
116.					Sold	01/11/16	J		
117.					Buy	07/21/16	J		
118. Schwab U.S. Large-Cap ETF (IRA-)		None			Sold	01/15/16	J		
119. American Century Equity Income (IRA-)	B	Dividend	K	T	Buy	07/21/16	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 ~\$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

05/9/2017

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.					Buy (add'l)	07/27/16	J		
121. Columbia Small Cap Index-Class A (IRA-)		None	J	T	Buy	12/16/16	J		
122. Income Fund of America-F (IRA-)	A	Dividend	K	T	Buy	03/23/16	J		
123.					Buy (add'l)	04/20/16	J		
124. Rydex S&P 500 Pure Value Fund (IRA-)	A	Dividend	K	T	Buy	03/15/16	J		
125.					Buy (add'l)	03/30/16	J		
126.					Sold (part)	06/27/16	J		
127. ProFunds Consumer Services Ultra Sector (IRA-)		None	J	T	Buy	11/25/16	J		
128. Rydex Telecommunications (IRA-)	A	Dividend	K	T	Buy	03/07/16	J		
129. Tortoise MLP & Pipeline Fund (IRA-)	A	Dividend	K	T	Buy	06/09/16	J		
130. Guggenheim Equal Weight-Industrials (IRA-)	A	Dividend	K	T	Buy	07/19/16	J		
131. iShares Russell 2000 Index (IRA-)	A	Dividend	K	T	Buy	11/16/16	J		
132.					Buy (add'l)	12/13/16	J		
133. BlackRock Health Sciences Opportunities (IRA-)		None			Buy	08/04/16	J		
134.					Sold	10/28/16	J		
135. Deutsche Global Infrastructure Fund CI S (IRA-)	A	Dividend			Buy	05/18/16	J		
136.					Sold	11/16/16	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 = \$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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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. Trust # 1									
138. - JP MorganChase Bank Account	A	Interest	J	T					
139. -John Hancock Life Insurance Policy	C	Interest	M	U					
140.									
141.									
142.									
143.									
144.									
145.									
146.									
147.									
148.									
149.									
150.									
151.									
152.									
153.									

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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	(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.									
155.									
156.									
157.									
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170.									

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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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)
171.									
172.									
173.									
174.									
175.									
176.									
177.									
178.									
179.									
180.									
181.									
182.									
183.									

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

All information and explanations relate to Part VII:

Lines 8: As a retiree, [REDACTED] receives monthly distributions from the Keogh (Target) Plan. The aggregate amount of the monthly distributions in 2016 is listed in column "D(3)" as having been made on December 31, 2016.

Line 10: This entry relates to a Defined Benefit Trust-Qualified Plan II. Upon vesting, there will be a right to an annuity, but the present value of annuity fluctuates annually based on my and [REDACTED] ages and the interest rate and mortality assumptions prescribed by the IRS. No contributions were made to this plan in 2016. As a retiree, [REDACTED] receives monthly distributions from this plan. The aggregate amount of the monthly distributions in 2016 is listed in column D(3) as having been made on December 31, 2016.

Line 11: As a retiree, [REDACTED] receives monthly distributions from her Capital "C." The aggregate amount of the monthly distributions in 2016 is listed in column "D(3)" as having been made on December 31, 2016.

Line 17: No contributions were made to the Capital "A" account in 2015.

lines 13-136: I maintain two IRA brokerage accounts and [REDACTED] 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 140: The John Hancock Life Insurance Policy is a Flexible Premium Survivorship Universal Life ("Second to Die") policy that [REDACTED] and I maintain for the benefit of [REDACTED]. 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
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Washington, D.C. 20544