

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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>Koeltl, John G.                                                                                                       | <b>2. Court or Organization</b><br><br>U.S.D.C. Southern District-NY                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>04/20/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Active                                   | <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>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>500 Pearl St. Room 1030<br>New York, New York 10007-1581                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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. ADJUNCT LAW PROFESSOR | NY UNIVERSITY LAW SCHOOL |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>         | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|--------------------------------|----------------------------------------|
| 1. 2015     | 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 (ABA)                  | April 16,2015 - April 17,2015 | New Orleans, LA | ABA Conference 2015 Annual meeting - Litigation section    | Lodging, meals and travel     |
| 2. The Sedona Conference                           | May 17,2015 - May 19,2015     | Miami, FL       | Mid-year meeting 2015 on Patent Litigation Case Management | Lodging, meals and travel     |
| 3. National Employment Lawyers' Association (NELA) | June 26,2015 - June 27,2015   | Atlanta, GA     | NELA 2015 Annual Convention                                | Lodging, meals and travel     |
| 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. | NY County Lawyers Association | Engraved "Orrefors" - Crystal Bowl | \$550.00     |
| 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.<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. JOHNSON & JOHNSON - (COMMON)                                                                                             | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. PFIZER INC. - (COMMON)                                                                                                   | C                                       | Dividend                                      | M                                               | T                                         | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 3. ROYAL DUTCH SHELL PLC -<br>(COMMON)                                                                                      | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. FEDERATED KAUFMANN LARGE CAP<br>FUND CL C - MUTUAL FUND                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. FRANKLIN INCOME FUND CL C -<br>MUTUAL FUND                                                                               | C                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 04/23/15                | J                               | B                              |                                                                   |
| 6.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/02/15                | J                               | B                              |                                                                   |
| 7. OPPENHEIMER DEV. MARKETS FUND<br>CL C - MUTUAL FUND                                                                      |                                         | None                                          | K                                               | T                                         | Sold<br>(part)                                  | 06/09/15                | J                               | C                              |                                                                   |
| 8. OPPEN. ROCHESTER LIMITED TERM<br>NY MUNI BOND FUND A - MUTUAL<br>FUND                                                    | B                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 04/02/15                | K                               |                                |                                                                   |
| 9.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 12/03/15                | K                               |                                |                                                                   |
| 10. VANGUARD TOTAL STK MKT EFT<br>FUND                                                                                      | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. MERRILL LYNCH FIA MONEY FUND -<br>N.Y.,N.Y.                                                                             | A                                       | Interest                                      | K                                               | T                                         | Sold<br>(part)                                  | 12/31/15                | K                               |                                | Net Decrease To MM<br>Fund                                        |
| 12. N.Y. STATE ENGY RESH BOND 5.5%<br>DUE 01/01/21                                                                          | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. SUFFOLK CTY BOND 4.125% DUE<br>11/01/21                                                                                 | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. DUTCHESS CTY BOND 4.5% DUE<br>08/01/26                                                                                  | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. NY ST DORM AT RV ST BOND 5% DUE<br>02/15/24                                                                             | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. NY ST DORM AT RV ST BOND 5% DUE<br>02/15/27                                                                             | B                                       | Interest                                      | L                                               | 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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## 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) |

|                                                                  |   |          |   |   |          |          |   |   |  |
|------------------------------------------------------------------|---|----------|---|---|----------|----------|---|---|--|
| 17. NEW YORK ST HFA PERS INC BOND<br>5% DUE 09/15/30             | A | Interest |   |   | Redeemed | 03/16/15 | K | A |  |
| 18. NEW YORK NY SUBSER SER C-1 BOND<br>4.5% DUE 10/01/23         | B | Interest | K | T |          |          |   |   |  |
| 19. N.Y. STATE DORM. AUTH. REV MEM<br>SLOAN BOND 5% DUE 07/01/26 | B | Interest | K | T |          |          |   |   |  |
| 20. TRIBOR. BRIDGE & TUNNEL BOND<br>4.75% DUE 11/15/30           | B | Interest | L | T |          |          |   |   |  |
| 21. NEW YORK NY SUBSER J-1 BOND 5%<br>DUE 05/15/31               | B | Interest | L | T |          |          |   |   |  |
| 22. N.Y. CITY MUN WTR BOND 4.75% DUE<br>06/15/36                 | B | Interest | L | T |          |          |   |   |  |
| 23. N.Y. CITY MUN WTR BOND 4.75% DUE<br>06/15/37                 | C | Interest | L | T |          |          |   |   |  |
| 24. TRIBOR. BRIDGE & TUNNEL BOND 5%<br>DUE 11/15/37              | C | Interest | L | T |          |          |   |   |  |
| 25. N.Y. CITY MUN WTR BOND 5% DUE<br>06/15/38                    | B | Interest | L | T |          |          |   |   |  |
| 26. N.Y. STATE HSG FIN AGY BOND 4.9%<br>DUE 11/01/38             | B | Interest | L | T |          |          |   |   |  |
| 27. N.Y. CITY MUN ATR BOND 4.5% DUE<br>06/15/39                  | C | Interest | M | T |          |          |   |   |  |
| 28. LONG ISLAND PWR AUTH NY BOND<br>4.25% DUE 05/01/33           | B | Interest | K | T |          |          |   |   |  |
| 29. THOMPSON NY PUB IMPT BOND<br>4.125% DUE 09/01/29             | B | Interest | L | T |          |          |   |   |  |
| 30. N.Y. STATE CLN-DRNG WTR BOND<br>5% DUE 06/15/36              | C | Interest | L | T |          |          |   |   |  |
| 31. NEW YORK ST SER E OID BOND 4%<br>DUE 12/15/37                | B | Interest | L | T |          |          |   |   |  |
| 32. HUDSON YDS INFRA NY BOND 5%<br>DUE 02/15/47                  | C | Interest | M | T |          |          |   |   |  |
| 33. HAVERSTRAW NY IMPT BOND 3.50%<br>DUE 06/15/34                | B | Interest | L | T |          |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 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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| 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) |
| 34. HUDSON YDS INFRA NY BOND 4.50%<br>DUE 02/15/47                                                                        | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 35. N.Y. STATE SER A OID BOND 3.125%<br>DUE 03/15/34                                                                      | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/11/15                | K                               |                                |                                                                   |
| 36. CITIBANK CHECKING ACCOUNT -<br>N.Y., N.Y.                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. MERRILL LYNCH (IRA ROLLOVER) -<br>ML BANK CASH ACCOUNT                                                                | A                                       | Interest                                      | M                                               | T                                         | Sold<br>(part)                                  | 12/31/15                | K                               |                                | Net Decrease to MM<br>Fund                                        |
| 38. MERRILL LYNCH (IRA ROLLOVER) -<br>ALGER CAP. APPREC. FUND CL A                                                        | D                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 12/17/15                | J                               |                                |                                                                   |
| 39. MERRILL LYNCH (IRA ROLLOVER) -<br>MFS VALUE FUND CL C                                                                 | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. MERRILL LYNCH (IRA ROLLOVER)-<br>MAINSTAY LARGE CAP FUND CL C                                                         | F                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 12/04/15                | L                               |                                |                                                                   |
| 41. MERRILL LYNCH (IRA ROLLOVER)-<br>ALGER CAP APPREC FUND CL C                                                           | E                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 12/17/15                | K                               |                                |                                                                   |
| 42. MERRILL LYNCH (IRA ROLLOVER)-<br>LOOMIS SAYLES INV BOND FD CL C                                                       | B                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 07/29/15                | L                               | D                              |                                                                   |
| 43.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 10/28/15                | M                               | D                              |                                                                   |
| 44. MERRILL LYNCH (IRA ROLLOVER)-<br>PIMCO COMM RR STRATEGY FD CL C                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 02/04/15                | K                               |                                |                                                                   |
| 45. MERRILL LYNCH (IRA ROLLOVER)-<br>OPPENHEIMER DEV. MKTS FUND CL C                                                      |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. MERRILL LYNCH (IRA ROLLOVER)-<br>FED. KAUFMAN LRG CAP FUND CL C                                                       | A                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. MERRILL LYNCH (IRA ROLLOVER)-<br>ISHARES RUSSELL 1000 FUND                                                            | C                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. MERRILL LYNCH (IRA ROLLOVER)-<br>TEMPLETON GLOBAL BOND FUND CL<br>C                                                   | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. MERRILL LYNCH (IRA ROLLOVER)-<br>FIRST EAGLE GLOBAL FUND CL C                                                         | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 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 \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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| 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) |
| 50. MERRILL LYNCH(IRA ROLLOVER)-<br>LORD ABBOTT MULTI ASSET INCOME<br>FUND C                                                | C                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 12/23/15                | J                               |                                |                                                                   |
| 51. MERRILL LYNCH(IRA ROLLOVER)-<br>PRUDENTIAL SHORT TERM CORP.<br>BOND FUND C                                              | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 12/01/15                | J                               |                                |                                                                   |
| 52. MERRILL LYNCH(IRA ROLLOVER)-<br>SUNAMERICA FOCUSED DIV.<br>STRATEGY FUND CLC                                            | E                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. MERRILL LYNCH(IRA ROLLOVER)-<br>ISHARES CORE S&P 500 EFT                                                                | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 02/05/15                | L                               |                                |                                                                   |
| 54. MERRILL LYNCH(IRA ROLLOVER)-<br>VANGUARD TOTAL STOCK MARKET<br>ETF                                                      | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 02/04/15                | K                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/28/15                | K                               |                                |                                                                   |
| 56. MERRILL LYNCH(IRA ROLLOVER)-<br>ATT BOND 3% DUE 06/30/22                                                                | B                                       | Interest                                      | L                                               | T                                         | Buy                                             | 07/30/15                | L                               |                                |                                                                   |
| 57. MERRILL LYNCH(IRA ROLLOVER)-<br>VERIZON BOND 4.272% DUE 01/15/36                                                        |                                         | None                                          | L                                               | T                                         | Buy                                             | 10/28/15                | L                               |                                |                                                                   |
| 58. Mr. & Mrs.MICHAEL NAYLOR,<br>PERSONAL LOAN                                                                              |                                         | None                                          | K                                               | T                                         | Buy<br>(add'l)                                  | 05/29/15                | J                               |                                |                                                                   |
| 59. MERRILL LYNCH MONEY MARKET<br>ACCOUNTS (MONEY MARKET FUNDS)                                                             | A                                       | Interest                                      | K                                               | T                                         | Sold<br>(part)                                  | 12/31/15                | J                               |                                | Net decrease to MM<br>Fund                                        |
| 60. NEW YORK NY SER P BOND 4.25%<br>DUE 08/01/25                                                                            | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |
| 61. ALTRIA GROUP INC ( COMMON)                                                                                              | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. AMN ELEC POWER CO. (COMMON)                                                                                             | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. AT&T (COMMON)                                                                                                           | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. BP PLC SPON ADR (COMMON)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. CALIFORNIA RESOURCES CORP.<br>(COMMON)                                                                                  | A                                       | Dividend                                      | J                                               | 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 \$5,000,000 | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Koeltl, John G.

Date of Report

04/20/2016

## 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) |

|                                          |   |          |   |   |  |  |  |  |                            |
|------------------------------------------|---|----------|---|---|--|--|--|--|----------------------------|
| 66. CHEVRON CORP. (COMMON)               | A | Dividend | J | T |  |  |  |  |                            |
| 67. CONSOLIDATED EDISON INC. (COMMON)    | A | Dividend | J | T |  |  |  |  |                            |
| 68. DAIMLER A (COMMON)                   | A | Dividend | J | T |  |  |  |  |                            |
| 69. DIEBOLD INC. (COMMON)                | A | Dividend | J | T |  |  |  |  |                            |
| 70. DOMINION RESOURCES INC. (COMMON)     | B | Dividend | K | T |  |  |  |  |                            |
| 71. DUKE ENERGY CORP. (COMMON)           | A | Dividend | J | T |  |  |  |  |                            |
| 72. EDISON INT'L CALIF (COMMON)          | A | Dividend | J | T |  |  |  |  |                            |
| 73. EXELON CORP. (COMMON)                | A | Dividend | J | T |  |  |  |  |                            |
| 74. EXXON MOBIL CORP. (COMMON)           | B | Dividend | K | T |  |  |  |  |                            |
| 75. GENERAL ELECTRIC (COMMON)            | A | Dividend | K | T |  |  |  |  |                            |
| 76. HERSHEY CO. (COMMON)                 | A | Dividend | K | T |  |  |  |  |                            |
| 77. HESS CORP. (COMMON)                  | A | Dividend | K | T |  |  |  |  |                            |
| 78. HONEYWELL INT'L INC. (COMMON)        | A | Dividend | K | T |  |  |  |  |                            |
| 79. THE KRAFT/HEINZ CO. (COMMON)         | E | Dividend | L | T |  |  |  |  | Formerly Kraft Foods Inc   |
| 80. MARATHON OIL CORP. (COMMON)          | A | Dividend | J | T |  |  |  |  |                            |
| 81. MONDELEZ INTERNATIONAL INC. (COMMON) | B | Dividend | M | T |  |  |  |  |                            |
| 82. EVERSOURCE ENERGY (COMMON)           | A | Dividend | J | T |  |  |  |  | Formerly Northeast Utility |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 \$5,000,000 | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Koeltl, John G.

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.<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) |

|                                                                 |   |          |   |   |             |          |   |  |  |
|-----------------------------------------------------------------|---|----------|---|---|-------------|----------|---|--|--|
| 83. OCCIDENTAL PETROLEUM CORP. CAL (COMMON)                     | B | Dividend | K | T |             |          |   |  |  |
| 84. PEPCO HOLDINGS INC. (COMMON)                                | A | Dividend | J | T |             |          |   |  |  |
| 85. PHILIP MORRIS INT'L INC. (COMMON)                           | E | Dividend | N | T |             |          |   |  |  |
| 86. PUBLIC SERVICE ENTERPRISE GROUP (COMMON)                    | C | Dividend | L | T |             |          |   |  |  |
| 87. ROCKWELL AUTOMATION INC. (COMMON)                           | A | Dividend | K | T |             |          |   |  |  |
| 88. ROCKWELL COLLINS INC. (COMMON)                              | A | Dividend | K | T |             |          |   |  |  |
| 89. SOUTHERN COMPANY (COMMON)                                   | A | Dividend | K | T |             |          |   |  |  |
| 90. SPECTRA ENERGY CORP. (COMMON)                               | B | Dividend | K | T |             |          |   |  |  |
| 91. VERIZON COMM. (COMMON)                                      | B | Dividend | L | T | Buy (add'l) | 12/03/15 | K |  |  |
| 92. VODAPHONE GROUP PLC (COMMON)                                | A | Dividend |   |   | Sold        | 12/03/15 | K |  |  |
| 93. DEUTSCHE NY TAX FREE INCOME FUND CL A (MUTUAL FUND)         | A | Dividend | J | T |             |          |   |  |  |
| 94. FEDERATED FUND FOR U.S. GOV'T SECURITIES CL A (MUTUAL FUND) | A | Dividend | K | T |             |          |   |  |  |
| 95. FEDERATED MUNICIPAL SECURITIES FUND CL A (MUTUAL FUND)      | A | Dividend | K | T |             |          |   |  |  |
| 96. FRANKLIN U.S. GOV'T SECURITIES FUND CL C (MUTUAL FUND)      | A | Dividend | J | T |             |          |   |  |  |
| 97. FRANKLIN U.S. GOV'T SECURITIES FUND CL A (MUTUAL FUND)      | A | Dividend | K | T |             |          |   |  |  |
| 98. ISHARES RUSSELL 1000 FUND                                   | B | Dividend | L | T | Buy (add'l) | 01/21/15 | K |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Koeltl, John G.

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.)

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| 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) |
| 99. OPPEN. ROCHESTER LIMITED TERM<br>NY MUNI BOND FUND A (MUTUAL<br>FUND)                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 100. WESTERN ASSET HIGH INCOME FUND<br>II (MUTUAL FUND)                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 101. OPPEN. ROCHESTER LIMITED TERM<br>NY MUNI BOND FUND C (MUTUAL<br>FUND)                                                  | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 102.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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 |
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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                                            |                        |

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Koehl, John G.

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

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Name of Person Reporting

Koeltl, John G.

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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/ 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