

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) Ellis, Ronald L.	2. Court or Organization Southern District of New York	3. Date of Report 06/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - f/t	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 500 Pearl Street Suite 1970 New York, NY 10007-1312		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ **NONE** (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Professor of Law	Columbia University Law School
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ **NONE** (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Ellis, Ronald L.

Date of Report

06/01/2017

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Columbia University Law School	\$5,000
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. 2016	Berkeley Carroll School - Salary
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. Just The Beginning	September 16-18	New York, NY	Seminar	Lodging, Meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Ellis, Ronald L.

Date of Report

06/01/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Ellis, Ronald L.

Date of Report

06/01/2017

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)
1. Axa Equitable (Formerly "The Equitable"; 401(K); Alliance Common Stock	A	Dividend	M	T					
2. Vanguard Group: Rollover Pension; Wellington Fund	E	Dividend	N	T					
3. TIAA-CREF; Retirement; Mutual Fund Account									
4. -- CREF Stock	D	Dividend	N	T					
5. -- TIAA Real Estate	B	Dividend	M	T					
6. -- CREF Fixed Income	A	Dividend	M	T					
7. JP Morgan Chase Bank; Checking/ Savings	A	Interest	M	T					
8. JP Morgan Chase Bank; IRA Acct 1; Alliance/Putnam Funds, Money Mkt	A	Dividend	L	T					
9. JP Morgan Chase Bank; IRA Acct 2; Alliance/Putnam Funds, Money Mkt	A	Dividend	L	T					
10. Prudential Insurance Co. - Whole Life	A	Dividend	L	T					
11. Northwestern Mutual Life Insurance Policy 1 - Whole Life	A	Dividend	J	T					
12. Northwestern Mutual Life Insurance Policy 2 - Whole Life	A	Dividend	J	T					
13. Met Life Money Market	A	Interest	K	T					
14. JPMorgan Investments; Managed Brokerage Account									
15. -- ASTON/FAIRPOINTE MID CAP FUND CL I - ABMIX					Sold	02/16/16	J		
16. -- AMERICAN CENTURY INTER-TERM TAX FREE BD FD - AXBIX INSTL CL					Sold	08/03/16	J		
17. -- BLACKROCK FDS - BHYIX					Sold	08/03/16	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	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Ellis, Ronald L.

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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)

18. -- BLACKROCK INTERNATIONAL INDEX FUND INSTL CL - MAIIX					Closed	01/22/16	J		
19. BLACKROCK INDEX FDS INC - BTMKX	A	Dividend			Buy (add'l)	01/22/16	J		
20.					Buy	01/16/16	J		
21.					Sold	08/03/16	J		
22. -- CAUSEWAY CAP MGMT TR INTL VALUE FD INSTL CL - CIVIX					Sold	08/03/16	J		
23. -- DODGE & COX FUNDS INTERNATIONAL STOCK FUND - DODFX					Sold	08/03/16	J		
24. -- HARBOR INTERNATIONAL FUND INSTITUTIONAL - HAINX					Sold	08/03/16	J		
25. -- J P MORGAN DEPOSIT SWEEP					Sold	08/03/16	J		
26. -- JPMORGAN TR I INTER TAX FREE BD FD INSTL CL - JITIX					Sold	08/03/16	J		
27. -- JPMORGAN TR I U S EQUITY FD INSTL CL - JMUEX					Sold	08/03/16	J		
28. -- JPMORGAN TR I MID CAP EQUITY FD SELECT CL - VSNGX					Sold	01/16/16	J		
29. -- JPMORGAN TR II HIGH YIELDFD SELECT CL - OHYFX					Sold	08/03/16	J		
30. -- JPMORGAN VALUE ADVANTAGE FD INSTL CL - JVAIX					Sold	01/16/16	J		
31. -- JPMORGAN TR II SHORT-INTER MUN BD FD INSTL - JIMIX					Sold	08/03/16	J		
32. -- MAINSTAY HIGH YIELD CORPORATE BOND FUND CC 1 - MHYIX					Sold	08/03/16	J		
33. -- MASSACHUSETTS INVESTORS TRUST CL 1 - MITIX					Sold	08/03/16	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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Ellis, Ronald L.

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34. -- OAKMARK FUND - OAKMX					Sold	08/03/16	J		
35. -- PIMCO LOW DURATION FUND INSTL CL - PTLDX					Sold	08/03/16	J		
36. -- T ROWE PRICE SUMMIT MUNICIPAL INTERMEDIATE FUND - PRSMX					Sold	08/03/16	J		
37. -- WELLS FARGO ADVANTAGE GROWTH FUND CL 1 - SGRNX					Sold	01/16/16	J		
38. -- ISHARES MSCI EAFE ETF - EFA					Sold	08/03/16	J		
39. -- SPDR S&P 500 ETF TRUST - SPY					Sold	08/03/16	J		
40. -- BERNSTEIN SANFORD C FD - AIDYX					Sold	08/03/16	J		
41. -- BLACKROCK FDS MIDCAP IND - EX FD - BRMIX					Closed	01/22/16	J		
42. BLACKROCK FDS - BRMKX	A	Dividend			Open	01/22/16	J		
43.					Sold	08/03/16	J		
44. -- BROWN ADVISORY FDS - BAFHX					Sold	08/03/16	J		
45. -- DEUTSCHE X TRACKERS MSCI - DBEF					Sold	08/03/16	J		
46. -- WISDOMTREE JAPAN HEDGED EQUITY FUND					Sold	08/3/16	J		
47. LORD ABBETT SHORT DURATION INCOME FUND - LLDYX	A	Dividend			Buy	02/24/16	J		
48.					Sold	08/03/16	J		
49. VANGUARD FIXED INCOME - VFIDX	A	Dividend			Buy	02/24/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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Ellis, Ronald L.

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50.					Sold	08/03/16	J		
51. JOHN HANCOCK INCOME FUND JSTIX	A	Dividend			Buy	04/12/16	J		
52.					Sold	08/03/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Ellis, Ronald L.

Date of Report

06/01/2017

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

Part VII: Account listed on line 14 was closed on 8/3/16, and funds transferred to checking/savings. Details for individual components are listed on lines 15 through 52.

Part VII: Asset on line 15 was corrected from "AIRPOINTE" to "FAIRPOINTE."

Part VII: Asset on line 19 was first bought on 01/16/16. On 01/22/16, asset on line 18 was exchanged (closed) for equivalent value of asset on line 19. (buy additional).

Part VII: Asset on line 41 was exchanged (closed) for equivalent value of asset on line 42 (open) on 01/22/16.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Ellis, Ronald L.

Date of Report

06/01/2017

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/ **Ronald L. Ellis**

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