

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) Stein, Sidney H.	2. Court or Organization U.S. District Court	3. Date of Report 8/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	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 U.S. Courthouse 500 Pearl Street New York, New York 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. Member - Board of Directors	Practicing Law Institute, a not for profit organization for continuing legal education
2. Member - Board of Directors	Park Corporation, a not for profit cooperative housing corporation
3. Member - Board of Directors	Greater New York Councils, Boy Scouts of America
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.)*DATESOURCE AND TYPEINCOME

(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. _____

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. MONEY MARKETS									
2. JPMORGAN U.S. GOVT.	A	Interest	M	T					
3. Dreyfus Tax Free NY	A	Interest	O	T					
4.									
5. COMMON STOCKS									
6. BERKSHIRE HATHAWAY CORP.		None	P1	T					
7. GRANT AVE CORP		None	P1	W					
8.									
9. TAX EXEMPT BONDS									
10. NEW YORK ST HSG FIN AGY GEN HSG SER B	C	Interest	K	T					
11. NEW YORK ST MTG AGY REV HOMETOWN MTG -29-a-RMKT	C	Interest	M	T					
12. NY STATE POWER AUTH GEN REV ETM SER A	D	Interest	L	T					
13. NY State Power Auth Rev & Gen Purp Ser Detm	A	Interest	K	T					
14. NYS STATE POWER AUTH SER G	A	Interest	K	T					
15. NEW YORK ST HSG FIN AGY GEN SER A	D	Interest	M	T					
16. NEW YORK STATE POWER AUTH.	C	Interest	K	T					
17. ERIE CTY NY IND DEV AGCY. SER. A	C	Interest			Sold	07/06/16	L	B	

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	L = \$50,001 - \$100,000 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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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. NASSAU CTY NY DTD 7/8/2008 SER C	C	Interest			Sold	02/05/16	M	D	
19. NYS DORM SALES TAX SER A	C	Interest	L	T					
20. MINNEAPOLIS MINN HEALTH CARE	A	Interest	J	T					
21. ALLEGHENY CTY, PA. HOSP DEV AUTH REV	C	Interest			Sold	11/28/16	L	C	
22. NYS REF - SER C	C	Interest	M	T					
23. PA ST. SECOND REF	C	Interest			Sold	01/14/16	M	D	
24. NYS LOC GOVT ASSISTANCE CORP	D	Interest	M	T					
25. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
26. NYS THWY SECOND GEN HIGHWAY SER A	C	Interest	M	T					
27. NYS ENVIRON. FACS CORP	C	Interest	M	T					
28. SWARTHMORE BORO AUTH PA COLLEGE REV	C	Interest			Sold	05/25/16	M	C	
29. NYC TR CULTURAL RES REV	B	Interest	L	T					
30. NYC SER D	C	Interest	M	T					
31. SOUTHEASTERN PA TRANS AUTH REV	C	Interest	M	T					
32. NYC, NY DTD 10/23/2012 SER B	B	Interest	M	T					
33. NYS DORM AUTH SALES TAX SER A	C	Interest	M	T	Sold (part)	06/27/16	L	A	
34. NASSAU CTY SALES TAX - SER A	C	Interest	M	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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☐ 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)

35. LOUISVILLE & JEFF CTY, KY SER A	C	Interest	M	T					
36. PORT AUTH NY SER 179	D	Interest			Sold	11/29/16	M		
37. TOBACCO SETT REVENUE ASSET BACKED - SER A	C	Interest			Sold	07/27/16	M	A	
38. UNIV. CALIFORNIA SER G	C	Interest	M	T					
39. PALM BEACH CTY FL SOL WST AUTH	B	Interest	M	T					
40. PA ST TNPKE COMM SER C	B	Interest	L	T					
41. SALES TAX ASSET REV SER A	D	Interest	M	T	Sold (part)	01/27/16	L	C	
42.					Buy	12/21/16	L		
43. CENTRAL PLAINS ENERGY PROJ	C	Interest	L	T					
44. NYS THWY AUTH REF	C	Interest	M	T					
45. NYC NY HSG	C	Interest	M	T					
46. PALM BEACH CTY FL	D	Interest	L	T	Sold (part)	12/22/16	L		
47. NYC NY TRA	C	Interest	M	T					
48. MIAMI DADE FL	B	Interest			Sold (part)	02/24/16	L	B	
49.					Sold	05/11/16	L	B	
50. MARYLAND STATE	B	Interest			Sold	09/14/16	M	D	
51. NYC, NY TRU	B	Interest			Sold	08/24/16	M	D	

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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. LOUISIANA STATE	B	Interest	M	T					
53. MONROE CTY NY INDL.	D	Interest	M	T					
54. NJ ST. ECON D.	C	Interest	M	T					
55. MET TRANSPORTATION AUTH NY	B	Interest	M	T					
56. SACRAMENTO CA CITY FIN AUTH	B	Interest			Sold	07/08/16	L	D	
57. NYS DORM AUTH	C	Interest	L	T					
58. NASSAU CTY NY	C	Interest	M	T	Buy	02/05/16	M		
59. ATHENS TX INDEP SCH	B	Interest	M	T	Buy	02/08/16	M		
60. MIAMI DADE CTY FL SCH. BD.	C	Interest	M	T	Buy	02/24/16	L		
61.					Buy	05/11/16	K		
62. NORTHSIDE TX IND SCH	B	Interest	M	T	Buy	04/21/16	M		
63. ORANGE CTY FL SCH B	A	Interest	M	T	Buy	07/20/16	M		
64. SUFFOLK CTY NY INTR	A	Interest	M	T	Buy	08/30/16	M		
65. CALIFORNIA ST	A	Interest			Buy	08/31/16	L		
66.					Sold	11/15/16	L		
67. HOUSTON TX UTILITY SYS	A	Interest	M	T	Buy	09/14/16	M		
68. NEW YORK ST DORM AUTH	B	Interest	M	T	Buy	10/14/16	M		

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69. CALIFORNIA ST		None	L	T	Buy	11/25/16	L		
70.									
71. MUTUAL FUNDS									
72. GREYCOURT PARTNERS FUND (IRA))	F	Dividend	P1	T					
73. GREYCOURT PARTNERS FUND	G	Dividend	P2	T					
74.									
75.									
76. MISCELLANEOUS									
77. CASH, JPMORGAN CHASE	E	Interest	O	T					
78. FINE ARTS HELD AS TENANT-IN-COMMON		None	P1	W					
79. ARBOR PPTY TRUST		None	K	T					
80. SERVICEMASTER LP		None	M	T					
81.									
82. NOTE: JUDGE STEIN HAS ELECTED NOT TO									
83. LIST INFORMATION BY [REDACTED]									

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

None

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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/ **Sidney H. Stein**

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