

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Matsumoto, Kiyo A.	2. Court or Organization U.S. District Court (EDNY)	3. Date of Report 8/2/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Courthouse 225 Cadman Plaza East Brooklyn, NY 11201		
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. Board member	Residential coop: [REDACTED] [PLEASE DO NOT DISCLOSE]
2. Honors Committee	New York City Bar Association
3. Family trust with brother	Qualified Personal Residence Trust #1 (Deceased parents' home)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 6/11-14/17	Nat'l Conference of Bar Examiners drafting bar exam	\$3,500.00
2. 10/26-29/17	Nat'l Conference of Bar Examiners drafting bar exam	\$3,500.00
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. 2017	Teaching, [REDACTED] (spouse) [DO NOT DISCLOSE NAME OF SCHOOL]
2. 2017	Self-employed rentals (spouse)
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. National Conference of Bar Examiners	6/11-14/17	Snowmass, CO	Drafting bar exam	Transportation, meals, lodging
2. National Conference of Bar Examiners	10/26-29/17	Montreal, Canada	Drafting bar exam	Transportation, meals, lodging
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.		Tuition	L
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. Citibank IRA & Savings Acct	C	Interest	L	T					
2. Chase Bank, savings and checking	C	Interest	L	T					
3. Brighthouse Financial (MetLife:see 4-6)									
4. -For Brighthouse: Fidelity VIP Eq. Inc.	A	Int./Div.	K	T					
5. -For Brighthouse: MFS Research Int'l	A	Int./Div.	J	T					
6. -For Brighthouse: Asset All 100	A	Int./Div.	K	T					
7. Memorial Partnership	C	Rent	L	W					
8. Series EE Savings Bonds	G	Interest	J	T					
9. Charles Schwab IRA/Accts									
10. -1. Colgate Palmolive (common)	A	Int./Div.	J	T					
11. -2. Procter & Gamble (common)	A	Int./Div.	J	T					
12. -3. Hewlett Packard (common)	A	Int./Div.	J	T					
13. -4. DXC Technology Com	A	Int./Div.	J	T	Spinoff (from line 9)	04/03/17			
14. -5. Microfocus Int'l.	A	Int./Div.	J	T	Spinoff (from line 9)	8/31/17			
15. -6. Time Warner (common)	A	Int./Div.	J	T					
16. Tax Deferred Retirement Annuity Plan (see 16-26)									
17. -TIAA Stable Value	C	Int./Div.	M	T					

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	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 \$5,000,000,000	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. -Vang 500 Idx Adm	D	Int./Div.	K	T					
19. -T. Rowe Inst Lrg Cap Grw	C	Int./Div.	J	T					
20. -American EuroPac Grw R6	B	Int./Div.	J	T					
21. -DFA US SmallCap Prtf Inst	C	Int./Div.	K	T					
22. -PIMCO Total Return Instl	C	Int./Div.	L	T					
23. -PIMCO Low Duration Instl	A	Int./Div.	K	T					
24. -T-C Money Market Rmt	A	Int./Div.	J	T					
25. -CREF Social Choice R1	C	Int./Div.	K	T					
26. -Vang Target Ret 2010 Inv	A	Int./Div.	K	T					
27. NY State Edu. Fund:Y Moderate Age Opt., Conserv. Growth	A	Interest	J	T	Distributed (part)	08/11/17	J		College tuition
28. Charitable Remainder Trust (JP Morgan) (see 29-70)	E	Distribution	N	T	Distributed (part)	02/01/17			
29. - 1. JP Morgan Deposit Sweep MGD JPMorgan Chase Bank NA	A	Int./Div.	J	T					
30. -2. Abbvie Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
31. -3. Altria Group Inc.	A	Int./Div.		T	Sold	01/17/17	J	B	
32. -4. American Electric Power	A	Int./Div.		T	Sold	01/17/17	J	A	
33. -5. Astrazeneca PLC	A	Int./Div.		T	Sold	01/17/17	J		
34. -6. AT&T	A	Int./Div.		T	Sold	01/17/17	K	C	

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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	
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35. -7. BCE Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
36. -8. BP PLC Sponsored ADR	A	Int./Div.		T	Sold	01/17/17	J	A	
37. -9. Chevron Corp.	A	Int./Div.		T	Sold	01/17/17	J	B	
38. -10. Coca Cola Co.	A	Int./Div.		T	Sold	01/17/17	J		
39. -11. Consolidated Edison Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
40. -12. Crown Castle	A	Int./Div.		T	Sold	01/17/17	J		
41. -13. Dominion Resources Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
42. -14. Duke Energy Corp.	A	Int./Div.		T	Sold	01/17/17	J	B	
43. -15. Exxon Mobil Corp.	A	Int./Div.		T	Sold	01/17/17	J	A	
44. -16. General Mills Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
45. -17. GlaxoSmithKline PLC	A	Int./Div.		T	Sold	01/17/17	J		
46. -18. Johnson & Johnson	A	Int./Div.		T	Sold	01/17/17	J	A	
47. -19. Kimberly Clark Corp.	A	Int./Div.		T	Sold	01/17/17	J		
48. -20. Kraft Heinz Co.	A	Int./Div.		T	Sold	01/17/17	J	A	
49. -21. McDonalds Corp.	A	Int./Div.		T	Sold	01/17/17	J	A	
50. -22. Merck & Co. Inc.	A	Int./Div.		T	Sold	01/17/17	J	B	
51. -23. National Grid PLC New	A	Int./Div.		T	Sold	01/17/17	J		

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52. -24. Novartis AG	A	Int./Div.		T	Sold	01/17/17	J		
53. -25. Occidental Pete Corp.	A	Int./Div.		T	Sold	01/17/17	J		
54. -26. Pepsico Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
55. -27. Philip Morris	A	Int./Div.		T	Sold	01/17/17	J	A	
56. -28. PPL Corp.	A	Int./Div.		T	Sold	01/17/17	J	A	
57. -29. Procter & Gamble Co.	A	Int./Div.		T	Sold	01/17/17	J	B	
58. -30. Realty Income Corp	A	Int./Div.		T	Sold	01/17/17	J	A	
59. -31. Sanofi	A	Int./Div.		T	Sold	01/17/17	J		
60. -32. Southern Co.	A	Int./Div.		T	Sold	01/17/17	J	A	
61. -33. Total SA	A	Int./Div.		T	Sold	01/17/17	J	A	
62. -34. Unilever PLC	A	Int./Div.		T	Sold	01/17/17	J		
63. -35. Ventas Inc	A	Dividend		T	Sold	01/17/17	J	A	
64. -36. Verizon Communications	A	Int./Div.		T	Sold	01/17/17	K	B	
65. -37. Vodafone Group PLC	A	Int./Div.		T	Sold	01/17/17	J		
66. -38. Welltower Inc.	A	Int./Div.		T	Sold	01/17/17	J	A	
67. -39. Federated Strategic Value	E	Int./Div.	N	T	Buy	02/07/17	N	A	

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

Part I: The Qualified Personal Residence Trust has no reportable assets.

Part VII. Investments and Trusts

Lines 3-6: In March 2017, Met Life created a company called Brighthouse Financial, which includes New England Life, for variable life insurance policies. The allocation percentages for the accounts in the policy have remained the same, as do two of the three names of the assets held.

Lines 13-14: The notations on the Schwab statement for DXC Technology Com and Microfocus state they are spinoff without any other reference and provide respective dates of 4/3/17 and 8/31/17. The filer did not choose or direct the transactions. Value as of 12/31/17 was \$99.55 for DXC and \$30.24 for Microfocus.

Tax Deferred Retirement Annuity Plan (Items 16-26) is not self-directed. We do not exercise control over what is purchased or sold or when.

Column B: (Items 16-26): The quarterly statements for the above do not specify either income or transactions, but state values which are reported. I used the "Gain or Loss" amount to report income in Column B.

The Charitable Remainder Trust (Items 28-67) is not owned by the filer, but the filer receives income annually as a beneficiary. The trust corpus will be donated to charity upon the filer's death. The filer has not chosen or directed the purchase or sale of assets held by the trust. If Column D (4) is blank, it is because there was a loss. The date of acquisition of Federated Strategic Value is Feb. 7, 2017, and was purchased with proceeds from the sale of all trust assets listed in my 2016 FDR for JP Morgan.

Line 68: Monthly annuity from deceased's life insurance policy (\$280.96 x 9 months : April-December 2017)

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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/ **Kiyo A. Matsumoto**

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