

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 12/27/2016
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 01/01/2015 to 12/31/2015
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	
2.	Nominating Committee	New York City Bar Association
3.	Co-trustee with brother	Qualified Personal Residence Trust #1
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. 4/17-20/15	Nat'l Conference of Bar Examiners drafting bar exam	\$3,500.00
2. 11/19-22/1	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. 2015	
2. 2015	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	4/17-20	Washington, DC	Drafting bar exam	Transportation, meals, lodging
2. National Conference of Bar Examiners	11/19-22	Austin, TX	Drafting bar exam	Transportation, meals, lodging
3. Georgetown University Law Center	4/7-8/15	Washington, DC	Moot court competition	Transportation and lodging
4. Federal Bar Council	10/23-24	New Paltz, NY	Conference -panel	Meals and lodging
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.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Columbia University	Tuition	K
2.	University of Chicago	Tuition	K
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	K	T					
2. Chase Bank, savings and checking	C	Interest	K	T					
3. New England Variable Life merged 1/15 with Met Life (see 4-6)	A	Interest	K	T		01/01/15			
4. -For Met Life: Fidelity VIP Eq. Inc.		Int./Div.	K	T					
5. -For Met Life: MFS Research Int'l		Int./Div.	J	T					
6. -For Met Life: MetLife Asset All 100		Int./Div.	J	T					
7. Charitable Remainder Trust (Northern Trust Securities) (see 8-11)	D	Int./Div.			Sold	11/17/15	N		
8. -Northern Money Market Fund/Northern US Gov't Money Market Fund	D	Int./Div.			Sold	10/14/15	J	A	
9. -Dodge&Cox Income ACAT Deliver	C	Int./Div.			Sold	11/16/15	J	A	
10. -Vanguard Long Term Invmt Grade INV ACAT	D	Int./Div.			Sold	11/16/15	J	A	
11. -Vanguard GNMA Investor CL ACAT	C	Int./Div.			Sold	11/16/15	J	A	
12. Memorial Partnership (El Cerrito, CA)	D	Rent	L	W					
13. Series EE Savings Bonds	A	Interest	J	T					
14. Charles Schwab IRA/Accts (inc. cust. accts for children)	A	Interest	J	T					
15. Colgate Palmolive (common) (part of item 8 above)	A	Int./Div.	J	T					
16. Procter & Gamble (common) (part of item 8 above)	A	Int./Div.	J	T					
17. Hewlett Packard (common) (part of item 8 above)	A	Int./Div.	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. Time Warner (common) (part of item 8 above)	A	Int./Div.	J	T					
19. Diversified Investment Thrift Plan (spouse)	B	Int./Div.	N	T					
20. NY State Edu. Fund: Moderate Age Opt., Conserv. Growth	A	Interest	J	T					
21. Charitable Remainder Trust (JP Morgan) (see 22-59)	A	Int./Div.	N	T	Buy	11/19/15	N		
22. - 1. JP Morgan Deposit Sweep MGD JPMorgan Chase Bank NA			J	T	Open	11/19/15	J		
23. - 2. Altria Group Inc.	A	Int./Div.	K	T	Buy	11/19/15	K	A	
24. - 3. American Electric Power	A	Int./Div.	J	T	Buy	11/19/15	J	A	
25. -4. AT&T	A	Int./Div.	J	T	Buy	11/19/15	J	A	
26. -5. BCE Inc.	A	Int./Div.	J	T	Buy	11/19/15	J		
27. -6. BP PLC Sponsored ADR	A	Int./Div.	J	T	Buy	11/19/15	J		
28. -7. Chevron Corp.	A	Int./Div.	J	T	Buy	11/19/15	J		
29. -8. Coca Cola Co.	A	Int./Div.	J	T	Buy	11/19/15	J		
30. -9. Dominion Resources Inc.	A	Int./Div.	J	T	Buy	11/19/15	J		
31. -10. Duke Energy Corp.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
32. -11. Exxon Mobil Corp.	A	Int./Div.	J	T	Buy	11/19/15	J		
33. -12. General Mills Inc.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
34. -13. GlaxoSmithKline PLC	A	Int./Div.	J	T	Buy	11/19/15	J		

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35. -14. Johnson & Johnson	A	Int./Div.	J	T	Buy	11/19/15	J	A	
36. -15. Kimberly Clark Corp.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
37. -16. Kraft Heinz Co.	A	Int./Div.	J	T	Buy	11/19/15	J		
38. -17. McDonalds Corp.	A	Int./Div.	K	T	Buy	11/19/15	J	A	
39. -18. Merck & Co. Inc.	A	Int./Div.	J	T	Buy	11/19/15	J		
40. -19. National Grid PLC New	B	Int./Div.	J	T	Buy	11/19/15	K		
41. -20. Pepsico Inc.	A	Int./Div.	J	T	Buy	11/19/15	J		
42. -21. Philip Morris	A	Int./Div.	K	T	Buy	11/19/15	K	A	
43. -22. PPL Corp.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
44. -23. Procter & Gamble Co.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
45. -24. Reynolds American Inc.	A	Int./Div.	K	T	Buy	11/19/15	K		
46. -25. Royal Dutch Shell PLC	A	Int./Div.	J	T	Buy	11/19/15	J		
47. -26. Sanofi	A	Int./Div.	J	T	Buy	11/19/15	J		
48. -27. Southern Co.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
49. -28. Unilever PLC	A	Int./Div.	J	T	Buy	11/19/15	J		
50. -29. Verizon Communications	A	Int./Div.	J	T	Buy	11/19/15	J	A	
51. -30. Vodafone Group PLC	A	Int./Div.	J	T	Buy	11/19/15	J		

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52. -30. Vodafone Group PLC	A	Int./Div.	J	T	Buy (add'l)	12/08/15	J		
53. -31. HCP Inc.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
54. -32. Omega Healthcare	A	Int./Div.	J	T	Buy	11/19/15	J	A	
55. -33. Realty Income Corp.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
56. -34. Ventas Inc.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
57. -35. Welltower Inc.	A	Int./Div.	J	T	Buy	11/19/15	J	A	
58. -36. Kinder Morgan Inc.		None			Buy	11/19/15	J		
59. -36. Kinder Morgan Inc.					Sold	12/07/15	J		
60. Bank of America (Y)									

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

Part I: The Qualified Personal Residence Trust is my parents' home and has no reportable assets.

Part VII Investments and Trusts:

Items 3-6: New England Life merged with Met Life on 1/1/15:

Cash Value of Variable Ordinary Life Policy: \$36,959.

-Fidelity VIP Eq Inc. - Value: \$15,740.14

-MFS Research Intl. - Value: \$6,273.26

-MetLife Asset All100- Value: \$14,944.69

Item 7-11: Northern Trust Charitable Remainder Trust included the following assets that were liquidated by broker on approximately 11/16-17/2015 and reinvested in JP Morgan starting 11/19/15

-Dodge & Cox Income

-Vanguard GNMA

-Vanguard Longterm Invmt. Grade

-Money market

Items 21-59: JP Morgan Charitable Remainder Trust

Between approximately 11/19/15-12/8/15, JP Morgan Charitable Remainder Trust purchased the following from proceeds from the sale/transfer of Northern Trust Securities assets without my input or direction.

1) Altria Group Inc.

2) American Electric Power

3) AT&T

4) BCE Inc..

5) BP PLC Sponsored ADR

6) Chevron Corp.

7) Coca Cola Co.

8) Dominion Resources Inc.

9) Duke Energy Corp.

10) Exxon Mobil Corp

11) General Mills Inc.

12) Glaxosmithkline PLC

13) Johnson & Johnson

14) Kimberly Clark Corp.

15) Kraft Heinz Co.

16) McDonalds Corp

17) Merck & Co Inc.

18) National Grid PLC NEW

19) PepsiCo Inc.

20) Philip Morris

21) PPL Corp

22) Procter & Gamble Co.

23) Reynolds American Inc.

24) Royal Dutch Shell PLC

25) Sanofi

26) Southern Co

27) Unilever PLC

28) Verizon Communications

29) Vodafone Group PLC

30) HCP Inc.

31) Omega Healthcare

32) Realty Income Corp

33) Ventas Inc

34) Welltower Inc.

Item 61: Bank of America savings and checking reported in 2014 was a joint account with our daughter while she was in college so that we could provide an allowance. After her graduation in 2013, the account remained open but there were minimal, if any, funds in the account and she was the sole person who made deposits or withdrawals. She eventually closed the account at some point in 2015 after she was no longer a dependent.

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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
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Washington, D.C. 20544