

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) Locke, Steven I.	2. Court or Organization District Court, Eastern District of New York	3. Date of Report 02/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	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 100 Federal Plaza Room 824 Central Islip, NY 11722		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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> (yours, not spouse's)
1. 2016	Collection of pre-appointment accounts receivable	\$3,852.00
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. 2016	The City of New York, Salary
2. 2016	Legal Fees - Self employed Attorney
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.				
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.)

	<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.	Quicken Loans	Mortgage on combined personal residence/rental property #1, Brooklyn, NY, Pt VII, line 75	O
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 accounts	A	Interest	M	T					
2. Hormel, Inc Common Stock	A	Dividend	J	T					
3. Brokerage Account #1 (H)									
4. -JPMorgan TR I Prime Money Market	A	Dividend			Sold	09/09/16	K		No gain or loss
5. -JPM US Treasury Plus Money Market Fund	A	Dividend	K	T	Buy	06/09/16	K		
6. -Atmel Corp Common Stock		None			Merged (with line 13)	04/05/16	J	A	See Note 2
7. -Walt Disney Co Common Stock	A	Dividend	J	T					
8. -First Horizon Natl Corp Common Stock	A	Dividend	J	T					
9. -International Business Machines Common Stock	B	Dividend	K	T					
10. -Macquarie Infrastructure Corp - Was Macquarie Infrastructure LLC	A	Dividend	K	T					
11.	B	Distribution							
12. -Motorola Solutions Inc. Common Stock	A	Dividend	J	T					
13. -Microchip Technology Inc Common Stock	A	Distribution	K	T	Sold (part)	04/05/16	J	A	See Note 2
14. -Pfizer Inc Common Stock	A	Dividend	K	T					
15. -Terra Inventions Corp Common Stock		None	J	T					
16. -Teradyne Inc Common Stock	A	Dividend	J	T					
17. Brokerage Account #2(H)									

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	
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)

18. -Columbia Acorn Fund A	D	Dividend	K	T					
19. Brokerage Account #3 (H)									
20. -Apple, Inc (X)	A	Dividend	J	T					
21. -Corning, Inc.	A	Dividend	J	T					
22. -Walt Disney Co	A	Dividend	J	T					
23. -International Business Machines Corp	A	Dividend	J	T					
24. -Pepsico	A	Dividend	J	T					
25. -Cash - JPMorgan Securities		None	J	T					
26. Brokerage Account #4 (H)									
27. -Walt Disney Co	A	Dividend	J	T					
28. -Pepsico	A	Dividend	J	T					
29. -Cash - JPMorgan Securities		None	J	T					
30. Retirement Account #1 (H)									
31. -General Money Market Fd C1 B	A	Interest	J	T					
32. -Dreyfus Ins Deposit Program 1	A	Interest	J	T					
33. -American Century Short Duration Inflation Protect- ion Bnd Fd Inv C1	A	Dividend	J	T					
34. -Columbia Acorn International Fd C1 R4	A	Dividend	K	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Dodge & Cox Income Fund	A	Dividend	K	T					
36. -Eagle Small Cap Growth Fund C1 I	A	Dividend	J	T					
37. -Eaton Vance Floating Rate High Income Instlt Class	A	Dividend	J	T					
38. -Fidelity Advisor Mid Cap II Fd Class I	A	Dividend	K	T					
39. -Fidelity Advisor New Insights Fd Class I	A	Dividend	L	T	Sold (part)	10/21/16	J	A	
40. -Fundamental Investors Class F-2	A	Dividend	L	T	Sold (part)	10/21/16	J	A	
41. -The Oakmark International Fund Class I	A	Dividend	K	T					
42. -Silverpepper Commodity Strategy Global Macro Fund Inst Class		None	K	T					
43. -John Hancock Disciplined Value Mid Cap Fund Class I	A	Dividend	K	T	Sold (part)	10/21/16	J	A	
44. -MFS International Value Fund Class I	A	Distribution	K	T					
45. -MFS Value Fund Class I	B	Dividend	L	T	Sold (part)	10/21/16	J	A	
46. -Northern Small Cap Value Fund	A	Dividend	J	T					
47. -Oppenheimer Developing Markets Fund Class Y	A	Dividend	K	T					
48. -Pimco Income Fund Class P	B	Dividend	K	T	Sold (part)	10/21/16	J		
49. -T Rowe Price Emerging Markets Stock	A	Dividend	J	T					
50. -Russell Global Real Estate Sec Fd Class S	B	Dividend	K	T					
51. -Templeton Globa Bond Fund Advisor Class	A	Dividend	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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52. Retirement Account #2 (H)									
53. -Dreyfus Ins Deposit Program I	A	Interest	J	T					
54. -Alliance Bernstein Global Real Estate Investment Fd C1 A	A	Dividend	J	T					
55. -Europacific Growth Fund Class A	A	Dividend	J	T					
56. -The Growth Fund of America Class A	A	Dividend	J	T					
57. -MFS Value Fund Class A	A	Dividend	J	T					
58. -Oppenheimer Global Strategic Income Fund Class A	A	Dividend	J	T					
59. -Pimco Total Return Class A	A	Dividend	J	T					
60. -Small-Cap World Fund Class A	A	Dividend	J	T					
61. -Victory Integrity Small-Cap Value Fund	A	Dividend	J	T					
62. -Washington Mutual Investors Fund Class A	A	Dividend	J	T					
63. College Fund #1 (H)									
64. -The Bond Fund of America -529A	F	Dividend	J	T					
65. -The Growth Fund of America - 529A	A	Dividend	J	T					
66. The Income Fund of America - 529A	A	Dividend	J	T					
67. New Perspective Fund - 529A	A	Dividend	J	T					
68. Washington Mutual Investors Fund - 529A	A	Dividend	J	T					

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69. College Fund #2 (H)									
70. -NYS 529 College Svgs Plan Moderate Age-Based Opt Conservative Growth		None	M	T					See Note 1, Part VIII
71. College Fund #3 (H)									
72. -NYS 529 College Svgs Plan Moderate Age-Based Opt Conservative Growth		None	M	T					See Note 1, Part VIII
73. Rental Property #1, Brooklyn, NY See Note 3, Part VIII	F	Rent	P1	R					
74. Law Offices of Steven I. Locke, PC (Y)									See Note 4, Part VIII

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

Notes to Part VII.

Note 1. College Funds which do not report income as an item separate from change in value.

Note 2. Atmel (Line 5) merged with Microchip Technology (Line 11) on April 5, 2016.

Note 3. Property was purchased in 2002 for \$1,335,000.

Note 4. Law practice closed on appointment to the bench.

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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/ **Steven I. Locke**

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