

# FINANCIAL DISCLOSURE REPORT FINAL FILING

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Scheindlin, Shira A.                                                                                                                 | <b>2. Court or Organization</b><br><br>S.D.N.Y.                                                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>05/15/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge/senior                                                    | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input checked="" type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>04/29/2016 |
| <b>7. Chambers or Office Address</b><br><br>Stooch, Stooch and LAVANx<br>180 Maiden Lane<br>New York, N.Y. 10038                                                                                          |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|             |                         |
|-------------|-------------------------|
| 1. Director | Justice Resource Center |
| 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.)*

| DATE         | SOURCE AND TYPE                    | INCOME<br>(yours, not spouse's) |
|--------------|------------------------------------|---------------------------------|
| 1. 2015-2016 | West Services, Inc. Book Royalties | \$9,877.00                      |
| 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.)*

| DATE         | SOURCE AND TYPE              |
|--------------|------------------------------|
| 1. 1-12/2015 | State University of New York |
| 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.)*

| SOURCE                                         | DATES           | LOCATION        | PURPOSE | ITEMS PAID OR PROVIDED |
|------------------------------------------------|-----------------|-----------------|---------|------------------------|
| 1. Association of American Law Schools         | 1/2/15-1/3/15   | Washington D.C. | Speaker | Travel, Food, Lodging  |
| 2. National Ass'n of Criminal Defense Lawyers  | 1/12/15-1/14/15 | Aspen, CO       | Speaker | Travel, Food, Lodging  |
| 3. American Judicature Society                 | 2/6/15-2/7/15   | Houston, Texas  | Speaker | Travel, Food, Lodging  |
| 4. University of Texas                         | 2/20/15         | Austin, TX      | Speaker | Travel, Food, Lodging  |
| 5. Arizona State University                    | 3/10/15-3/13/15 | Tempe, AZ       | Speaker | Travel, Food, Lodging  |
| 6. University of California/Los Angeles (UCLA) | 4/15/15-4/20/15 | Los Angeles, CA | Speaker | Travel, Food, Lodging  |

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|     |                                             |                   |                  |                |                       |
|-----|---------------------------------------------|-------------------|------------------|----------------|-----------------------|
| 7.  | American Constitution Society               | 6/11/15-6/12/15   | Washington DC    | Speaker        | Travel, Food, Lodging |
| 8.  | American Bar Association                    | 7/30/15-8/1/15    | Chicago, ILL     | Attend Meeting | Travel, Food, Lodging |
| 9.  | University of Missouri                      | 9/27/15-9/29/15   | Kansas City, MI. | Speaker        | Travel, Food, Lodging |
| 10. | University of California Los Angeles (UCLA) | 10/16/15-10/17/15 | Los Angeles, CA  | Speaker        | Travel, Food, Lodging |
| 11. | Eastern District Texas Bench/Bar Conference | 10/21/15-10/22/15 | Dallas, TX       | Speaker        | Travel, Food, Lodging |
| 12. | Sedona Conferencei                          | 10/28/15-10/29/15 | Orlando, FL      | Speaker        | Travel, Food, Lodging |
| 13. | Cornell Law School                          | 11/06/15-11/08/15 | Ithaca, NY       | Attend Meeting | Travel, Food, Lodging |
| 14. | American Bar Association                    | 11/13/15-11/14/15 | Nashville, TENN  | Attend Meeting | Travel, Food, Lodging |
| 15. | Arizona State University                    | 3/8/16-3/11/16    | Tempe, AZ        | Speaker        | Travel, Food, Lodging |

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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.       |             |            |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                     |   |          |    |   |             |          |   |  |  |
|-----------------------------------------------------|---|----------|----|---|-------------|----------|---|--|--|
| 1. Rental Property #1, Brooklyn, Kings County, NY   | F | Rent     | P1 | W |             |          |   |  |  |
| 2. IRA #1 (formerly Equity Services, now TIAA-CREF) |   |          |    |   |             |          |   |  |  |
| 3. TIAA-CREF emerging mkts equity index Fd (TEQLX)  | A | Dividend |    |   | Sold        | 06/17/15 | K |  |  |
| 4.                                                  |   |          |    |   | Buy         | 08/04/15 | K |  |  |
| 5.                                                  |   |          |    |   | Buy (add'l) | 08/13/15 | J |  |  |
| 6.                                                  |   |          | K  | T | Buy (add'l) | 12/15/15 | J |  |  |
| 7. TIAA-CREF Int'l Equity Index FD (TCIEEX)         | B | Dividend |    |   | Sold        | 06/17/15 | K |  |  |
| 8.                                                  |   |          |    |   | Buy         | 08/04/15 | K |  |  |
| 9.                                                  |   |          |    |   | Buy (add'l) | 08/13/15 | J |  |  |
| 10.                                                 |   |          |    |   | Buy (add'l) | 10/02/15 | J |  |  |
| 11.                                                 |   |          |    |   | Buy (add'l) | 12/15/15 | J |  |  |
| 12.                                                 |   |          | K  | T | Buy (add'l) | 01/27/16 | J |  |  |
| 13. ishares TR Msci EAFE small cap etf (SCZ)        | A | Dividend |    |   | Buy (add'l) | 01/07/15 | J |  |  |
| 14.                                                 |   |          |    |   | Sold        | 06/17/15 | K |  |  |
| 15.                                                 |   |          |    |   | Buy         | 08/04/15 | J |  |  |
| 16.                                                 |   |          | K  | T | Buy (add'l) | 08/13/15 | J |  |  |
| 17. ishares TR Tips BD ETF (TIP)                    | A | Dividend |    |   | Sold        | 06/17/15 | K |  |  |

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

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 19.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/05/15                | J                               |                                |                                                                   |
| 20.                                                                                                                         |                                         |                                               | K                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 21. ishares TR Russell Mid-Cap Value ETF (IWS)                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | K                               | C                              |                                                                   |
| 22.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | K                               |                                |                                                                   |
| 23.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 24.                                                                                                                         |                                         |                                               | K                                               | T                                         | Buy<br>(add'l)                                  | 01/05/16                | J                               |                                |                                                                   |
| 25. ishares TR Russell Mid-cap ETF (IWR)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | K                               | B                              |                                                                   |
| 26.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | K                               |                                |                                                                   |
| 27.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 28.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/25/16                | J                               |                                |                                                                   |
| 29.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 01/25/16                | J                               |                                |                                                                   |
| 30. ishares TR Russell 2000 Value ETF (IWN)                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | K                               | A                              |                                                                   |
| 31.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 32.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 33.                                                                                                                         |                                         |                                               | J                                               | T                                         | Sold<br>(part)                                  | 01/25/15                | J                               |                                |                                                                   |
| 34. ishares TR Russell 2000 Growth ETF (IWO)                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | J                               | B                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 36.                                                                                                                       |                                         |                                               | J                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 37. TIAA-CREF Large Cap Value Index FD<br>(TILVX)                                                                         | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | K                               | C                              |                                                                   |
| 38.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | K                               |                                |                                                                   |
| 39.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 40.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/15/15                | J                               |                                |                                                                   |
| 41.                                                                                                                       | B                                       | Distribution                                  | L                                               | T                                         | Buy<br>(add'l)                                  | 01/25/16                | J                               |                                |                                                                   |
| 42. TIAA-CREF Large Cap Growth Index FD<br>(TILIX)                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | K                               | D                              |                                                                   |
| 43.                                                                                                                       | B                                       | Distribution                                  |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 44.                                                                                                                       |                                         |                                               | K                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 45. TIAA-CREF Bond Index FD (TBIIX)                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | J                               | A                              |                                                                   |
| 46.                                                                                                                       | A                                       | Distribution                                  |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 47.                                                                                                                       |                                         |                                               | J                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 48. Fidelity Advisor Emerging Mkts (FMKIX)                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | J                               |                                |                                                                   |
| 49.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 50.                                                                                                                       |                                         |                                               | K                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 51. SPDR SER TR Dow Jones REIT (RWR)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/04/15                | J                               |                                |                                                                   |
| 53.                                                                                                                         |                                         |                                               | J                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 54. ishares TR IBOXX \$ Hi-Yield BD ETF<br>(HYG)                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/15                | J                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 08/04/15                | J                               |                                |                                                                   |
| 56.                                                                                                                         |                                         |                                               | J                                               | T                                         | Buy<br>(add'l)                                  | 08/13/15                | J                               |                                |                                                                   |
| 57. iShares TR Russell Mid Cap Gth ETF (IWP)                                                                                |                                         | None                                          | K                                               | T                                         | Buy                                             | 01/25/15                | K                               |                                |                                                                   |
| 58. Dreyfus Gov't Prime Inv Sh (IRA Cash<br>Sweep Acct)                                                                     | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Retirement Accounts                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 60. Teachers Insurance Annuity Association                                                                                  | F                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. College Retirement Equities Fund                                                                                        | A                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. Supplemental and Group Retirement<br>Annuities                                                                          | A                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. Other Miscellaneous Investments/Bank<br>Accounts                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 64. AXA Financial Insurance Company Stock                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. Pfizer                                                                                                                  | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Investors Bank                                                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. Investors Bank                                                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. Chase Manhattan Bank                                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

05/15/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Chase Manhattan Bank                                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. Chase Manhattan Bank                                                                                                    | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. Chase Manhattan Bank                                                                                                    | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. Chase Manhattan Bank                                                                                                    | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. Chase Manhattan Bank                                                                                                    | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. Brokerage Account #1 (US Trust)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 75. ASTON Montag & Caldwell Grth FD CL 1 (MCGIX)                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76.                                                                                                                         | D                                       | Distribution                                  |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 77. Columbia DIV. INC FD CLZ (GSFTX)                                                                                        | D                                       | Distribution                                  | M                                               | T                                         | Sold (part)                                     | 09/03/15                | K                               | C                              |                                                                   |
| 78.                                                                                                                         | D                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 01/02/15                | K                               |                                |                                                                   |
| 79. Columbia FDS SER TR 1 Select LGE CAP Grth FD CL Z (UMLGX)                                                               | E                                       | Distribution                                  | M                                               | T                                         | Buy (add'l)                                     | 09/03/15                | K                               |                                |                                                                   |
| 80. BOFA NY Tax Exempt Res. Tr. CL(cash sweep)                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. Columbia Small Cap Grth FD (CMSCX)                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 03/30/15                | K                               | E                              |                                                                   |
| 82. Columbia NY Inter Muni Bd Fund CL Z (GNYTX)                                                                             | C                                       | Interest                                      | L                                               | T                                         | Sold (part)                                     | 03/30/15                | J                               | A                              |                                                                   |
| 83. Columbia Short Term Muni Bd Fd CL Z                                                                                     | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 03/30/15                | J                               |                                |                                                                   |
| 84. Janus Invest. FD Enterprise (JMGRX)                                                                                     | C                                       | Distribution                                  | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. Lazard Fd. Inc. Emerg. Mkts. (LZEMX)                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                         | A                                       | Distribution                                  |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 87. Thornburg Int. Value Fd (TGVIX)                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 10/29/15                | J                               |                                |                                                                   |
| 88.                                                                                                                         | D                                       | Distribution                                  |                                                 |                                           | Sold                                            | 12/30/15                | L                               |                                |                                                                   |
| 89. Harbor Int'l Fund (HAINX)                                                                                               | B                                       | Distribution                                  | K                                               | T                                         | Buy<br>(add'l)                                  | 03/30/15                | J                               |                                |                                                                   |
| 90. Harbor Intl Fund (HAINX)                                                                                                | A                                       | Int./Div.                                     | K                                               | T                                         | Sold<br>(part)                                  | 12/30/15                | J                               |                                |                                                                   |
| 91. Columbia High Yield Municipal Fund<br>(SHRMX)                                                                           | B                                       | Interest                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 01/02/15                | J                               |                                |                                                                   |
| 92.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/18/15                | K                               |                                |                                                                   |
| 93.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/29/15                | J                               |                                |                                                                   |
| 94. Eaton Vance Atlanta Cap. (EISMX)                                                                                        | B                                       | Distribution                                  | K                                               | T                                         | Sold<br>(part)                                  | 06/18/15                | K                               | D                              |                                                                   |
| 95. Columbia Emerging Mkt Fd Cl Z<br>(UMEMX)                                                                                |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 09/03/15                | J                               |                                |                                                                   |
| 96.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/29/15                | J                               |                                |                                                                   |
| 97.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/29/15                | K                               |                                |                                                                   |
| 98. PIMCO All Asset FD                                                                                                      | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/30/15                | K                               |                                |                                                                   |
| 99. Artison Int'l Fd (ARTIX)                                                                                                |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 03/30/15                | J                               |                                |                                                                   |
| 100.                                                                                                                        |                                         | None                                          |                                                 |                                           | Sold                                            | 09/03/15                | M                               |                                |                                                                   |
| 101. Oppenheimer Intl Gth Fd                                                                                                | B                                       | Int./Div.                                     | M                                               | T                                         | Buy<br>(add'l)                                  | 09/03/15                | M                               |                                |                                                                   |
| 102. PIMCO Commodities Plus Strategies                                                                                      | B                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/30/15                | L                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

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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.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/29/15                | K                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/30/15                | K                               |                                |                                                                   |
| 105. Prudential Global Real Estate (PURZX)                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 106. Prudential Global Real Estate (PURZX)                                                                                  | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. Robeco Boston Partners Long/Short<br>Research Fund (BPIRX)                                                             | C                                       | Distribution                                  | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 108. AMG (Managers)Real Estate Secs. FD<br>(MRESX)                                                                          | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 109. AMG (Managers)Real Estate Secs. FD<br>(MRESX)                                                                          | C                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 110. Columbia Tax-Exempt FD                                                                                                 | B                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/02/15                | J                               |                                |                                                                   |
| 111. Victory Small Co Oppty FD                                                                                              | C                                       | Distribution                                  | K                                               | T                                         | Sold<br>(part)                                  | 06/24/15                | J                               |                                |                                                                   |
| 112.                                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 09/03/15                | J                               |                                |                                                                   |
| 113. Goldman Sachs Strategic Income                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/02/15                | K                               |                                |                                                                   |
| 114.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/30/15                | K                               |                                |                                                                   |
| 115. Ivy Asset Strategy Fd                                                                                                  | C                                       | Distribution                                  |                                                 |                                           | Buy                                             | 03/30/15                | K                               |                                |                                                                   |
| 116.                                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 09/03/15                | J                               |                                |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/24/15                | J                               |                                |                                                                   |
| 118.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/29/15                | K                               |                                |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/30/15                | K                               |                                |                                                                   |

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

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| 120. LEGG Mason Clear Bridge Small Cap                                                                                      | A                                       | Distribution                                  | K                                               | T                                         | Buy                                             | 03/30/15                | K                               |                                |                                                                   |
| 121. MFS Int'l New Discovery                                                                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 03/30/15                | K                               |                                |                                                                   |
| 122. PIMCO Commodity Real return                                                                                            | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 03/30/15                | K                               |                                |                                                                   |
| 123.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/24/15                | J                               | A                              |                                                                   |
| 124.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/29/15                | K                               |                                |                                                                   |
| 125.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/30/15                | J                               |                                |                                                                   |
| 126. NATIXIF                                                                                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 10/29/15                | K                               |                                |                                                                   |
| 127. AQR Multistrategy Alternative                                                                                          | B                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 12/30/15                | L                               |                                |                                                                   |
| 128. CAMBIAR Int'l Equity Fd                                                                                                | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 12/30/15                | L                               |                                |                                                                   |
| 129. Neuberger Berman Emerging Mkts                                                                                         | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 12/30/15                | L                               |                                |                                                                   |
| 130. Brokerage Acct. #2 (TIAA-CREF)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 131. Fidelity Advantage Small Cap.(FSCTX)                                                                                   | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132. Fidelity Advantage Mid Cap (FMCAX)                                                                                     | A                                       | Distribution                                  | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 133. MSCI Hong Kong (EWH)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134. SPDR Gold Trust (GLD)                                                                                                  |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135. Long Leaf Partners Fund (LLPFX)                                                                                        |                                         | None                                          |                                                 |                                           | Sold                                            | 09/16/15                | J                               | B                              |                                                                   |
| 136. Peritt Micro Cap FD (PRCGX)                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Oakmark Select Fund (OAKLX)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 138. Fairholme Fund (FAIRX)                                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 05/28/15                | J                               | C                              |                                                                   |
| 139. SPDR Series TR S&P regl. B (KRE)                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 140. Federated NY Muni Cash Series (TIAA-CREF sweep)                                                                        | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 141. Brokerage Acct. #3 (TIAA-CREF)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 142. Bernstein Diversified Mun Portfolio Fund Advisor (SNDPX)                                                               | A                                       | Distribution                                  | K                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 143. TIAA-CREF Emerging Mkts Equity Index Fd (TEQLX)                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 12/22/15                | J                               |                                |                                                                   |
| 144.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/08/15                | J                               |                                |                                                                   |
| 145.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 146. Franklin Hi-Yield Tax Free Income FD (FHYVX)                                                                           | A                                       | Distribution                                  | J                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 147.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 01/25/16                | J                               | A                              |                                                                   |
| 148. Thornburg Intermed Municipal National Inst (THMIX)                                                                     | A                                       | Distribution                                  | J                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 149. Wells Fargo Advtg Ultra Short term Muni income fd (SMAVX)                                                              | A                                       | Distribution                                  | K                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 150. T Rowe Price Summit Muicipal Intermediate (PRSMX)                                                                      | A                                       | Distribution                                  | J                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 151.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 06/02/15                | J                               |                                |                                                                   |
| 152. Fidelity Advisor Emerging Mkts Income (FMKIX)                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |
| 153. ishares TR MSCI EAFE ETF (EFA)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 06/01/15                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

05/15/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "X" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/25/16                | J                               |                                |                                                                   |
| 155. iShares TR Russell MidCap Value ETF IWS                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 06/01/15                | J                               |                                |                                                                   |
| 156.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/04/16                | J                               |                                |                                                                   |
| 157.                                                                                                                      |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/25/16                | J                               | A                              |                                                                   |
| 158. ishares TR Russell mid-cap ETF (IWR)                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/25/16                | J                               |                                |                                                                   |
| 159. ishares TR Russell 1000 Value ETF (IWD)                                                                              | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 06/01/15                | J                               |                                |                                                                   |
| 160.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/18/16                | J                               |                                |                                                                   |
| 161.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/02/15                | J                               |                                |                                                                   |
| 162. ishares TR Russell 1000 Growth ETF (IWF)                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 06/01/15                | J                               |                                |                                                                   |
| 163.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/25/16                | J                               |                                |                                                                   |
| 164. ishares TR Russell 2000 Value EYF (IWN)                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 06/01/15                | J                               |                                |                                                                   |
| 165. ishares TR Russell 2000 Growth ETF (IWO)                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 166. ishares TR MSCI EAFE Small Cap ETF (SCZ)                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/07/15                | J                               |                                |                                                                   |
| 167. SPDR Ser TR Dow Jones Reit ETF (RWR)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 06/01/15                | J                               |                                |                                                                   |
| 168.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/20/16                | J                               |                                |                                                                   |
| 169. iShares TR Russell Midcap Gth ETF (IWP)                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/25/16                | J                               |                                |                                                                   |
| 170. TIAA Bank Brokerage Sweep Acc't.                                                                                     |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. Brokerage Acc't # 4 (Scottrade)                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 172. Vanguard Int'l Growth Fund VWIGX                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 173. Windstream (WIN)                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/11/15                | J                               |                                |                                                                   |
| 174. Markwest (MWE)                                                                                                         | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 10/23/15                | J                               | D                              |                                                                   |
| 175. SPDR Index SHS FDS INT ETF (IPF)                                                                                       | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 01/28/15                | J                               |                                |                                                                   |
| 176. MSCI Hong Kong (EWH)                                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 177. Fairholme FND (FAIRX)                                                                                                  | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 178. US Bank NA (sweep acc't)                                                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 179. Fidelity Nordic (FNORX)                                                                                                | A                                       | Int./Div.                                     | J                                               | T                                         | Buy<br>(add'l)                                  | 02/18/16                | J                               |                                |                                                                   |
| 180. Fidelity EMEA FND (FEMEX)                                                                                              | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 01/28/15                | J                               |                                |                                                                   |
| 181. Fidelity Emerging Asia FND (FSEAX)                                                                                     | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 03/04/16                | J                               | A                              |                                                                   |
| 182. Fidelity Value Fund (FDVLX)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 183. Columbia Aggressive Value (CAMAX)                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/04/15                | J                               |                                |                                                                   |
| 184. T Rowe Price Cap Appreciation FND<br>(PRWCX)                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 04/26/16                | J                               |                                |                                                                   |
| 185. Powershares Dynamic FND (PBE)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/12/15                | J                               |                                |                                                                   |
| 186. Market Vectors Gold FND (GDX)                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/02/15                | J                               |                                |                                                                   |
| 187. iShares TR Nasdaq Biotech ETF (IBB)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/04/15                | J                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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    |                                 |                         |
| 3. Value Method Codes   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
| (See Column C2)         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

05/15/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/09/15                | J                               |                                |                                                                   |
| 189. iShares MSCI USA Quality Factor ETF<br>(QUAL)                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/15/15                | J                               |                                |                                                                   |
| 190. Brokerage Account #5 (JP Morgan Chase)                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 191. SPDR S & P 500 ETF (SPY)                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 192.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 193. American Century Interterm (AXBIX)                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 194.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 195. Black Rock FDS US (BHYIX)                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 196.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 197. Goldman Sachs Emerging Market (GSDIX)                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/04/15                | J                               |                                |                                                                   |
| 198. Oakmark Fund (OAKMX)                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 199. Oakmark Fund (OAKMX)                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 06/16/15                | J                               | B                              |                                                                   |
| 200. JP Morgan TRI/inter tax free BD FND Instl<br>CL (JITIX)                                                                | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/04/15                | J                               |                                |                                                                   |
| 201.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 202. JP Morgan TRI U S Equity FD Instl C1<br>(JMUEX)                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/04/15                | J                               |                                |                                                                   |
| 203.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | B                              |                                                                   |
| 204. JP Morgan TRI/Midcap Equity (VSNEX)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                       |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                 | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000<br>P3 ~\$25,000,001 - \$50,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000<br>P4 ~More than \$5,000,000 | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

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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.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205. JP Morgan TR I Int'l Value FD Instl Cl (JNUSX)                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold (part)                                     | 04/07/15                | J                               | A                              |                                                                   |
| 206.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 04/27/15                | J                               | A                              |                                                                   |
| 207. JPMorgan High Yield (OHYFX)                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 06/04/15                | J                               |                                |                                                                   |
| 208.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 209. JP Morgan TR II Short Inter Mun Bd Fd Instl (JIMIX)                                                                    | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 06/04/15                | J                               |                                |                                                                   |
| 210.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/04/15                | J                               | A                              |                                                                   |
| 211. MFS Ser. Tr. X Emerging Market (MEDIX)                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/04/15                | J                               |                                |                                                                   |
| 212. T Rowe Price Summit (PRSMX)                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold (part)                                     | 06/04/15                | J                               | A                              |                                                                   |
| 213.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 214. iShares Trust Russell 2000 (IWM)                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/11/15                | J                               | A                              |                                                                   |
| 215. John Hancock Inc. Fd (JSTIX)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 06/04/15                | J                               |                                |                                                                   |
| 216.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 217. Massachusetts Investors (MITIX)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 06/04/15                | J                               |                                |                                                                   |
| 218.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 219. Mainstay (MHYIX)                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 06/04/15                | J                               |                                |                                                                   |
| 220.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 221. MFS Research International (MRSIX)                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 04/27/15                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

05/15/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                      |   |              |  |  |                |          |   |   |  |
|----------------------------------------------------------------------|---|--------------|--|--|----------------|----------|---|---|--|
| 222.                                                                 |   |              |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 223.                                                                 |   |              |  |  | Sold           | 06/16/15 | J | A |  |
| 224. American Century Value Fund (AVLIX)                             | A | Dividend     |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 225.                                                                 |   |              |  |  | Sold           | 06/16/15 | J | A |  |
| 226. Goldman Sachs Small Cap (GSSIX)                                 | A | Dividend     |  |  | Sold           | 03/09/15 | J | A |  |
| 227. JP Morgan TRI Small Cap (VSEIX)                                 | A | Dividend     |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 228.                                                                 |   |              |  |  | Sold           | 06/16/15 | J | A |  |
| 229. JP Morgan Growth Advantage (JGASX)                              | A | Distribution |  |  | Sold           | 06/16/15 | J | A |  |
| 230. Wells Fargo Adv FDS - Emerging Mkts<br>Equity FD Inst'l (EMGNX) | A | Distribution |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 231.                                                                 |   |              |  |  | Sold           | 06/16/15 | J |   |  |
| 232. iShares MSCI EAFE ETF (EFA)                                     | A | Dividend     |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 233.                                                                 |   |              |  |  | Sold           | 06/16/15 | J | A |  |
| 234. Alliance Bernstein Inter (AIDAX)                                | A | Dividend     |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 235.                                                                 |   |              |  |  | Sold           | 06/16/15 | J | A |  |
| 236. PIMCO Low Duration Fund (PTLDX)                                 | A | Dividend     |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |
| 237.                                                                 |   |              |  |  | Sold           | 06/16/15 | J |   |  |
| 238. Dodge & Cox Funds (DODFX)                                       | A | Dividend     |  |  | Buy<br>(add'l) | 06/04/15 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 239.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 240. Blackrock Int'l Index FD Inst'l CI (MAILX)                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 241. Delaware GRP Caps Emerging DEMIX                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 242.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 243. JP Morgan Deposit Sweep MGD (QCPCM)                                                                                    | A                                       | Interest                                      |                                                 |                                           | Closed                                          | 06/16/15                | J                               |                                |                                                                   |
| 244. Columbia FDS Ser Tr 11 Mass TAPRX                                                                                      | A                                       | Interest                                      |                                                 |                                           | Buy                                             | 03/09/15                | J                               |                                |                                                                   |
| 245.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 246.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 247. T Rowe Price New Asia Fd PRASX                                                                                         |                                         | None                                          |                                                 |                                           | Buy                                             | 03/09/15                | J                               |                                |                                                                   |
| 248.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 249.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               | A                              |                                                                   |
| 250. Deutsche X Trackers MSCI DBEF                                                                                          |                                         | None                                          |                                                 |                                           | Buy                                             | 04/07/15                | J                               |                                |                                                                   |
| 251.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/04/15                | J                               |                                |                                                                   |
| 252.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/16/15                | J                               |                                |                                                                   |
| 253. Brokerage Acct #6 (JP Morgan Chase)/                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 254.                                                                                                                        | A                                       | Distribution                                  |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 255. Cohen and Steere Real Estate Sec FD CI 1<br>(CSDIX)                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 256.                                                                                                                        | A                                       | Distribution                                  |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/15                | J                               |                                |                                                                   |
| 257.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               |                                |                                                                   |
| 258. JP Morgan Sweep Acc't                                                                                                  | A                                       | Interest                                      |                                                 |                                           | Closed                                          | 07/16/15                | J                               |                                |                                                                   |
| 259. Alliance Bernstein Int. (AIDAX)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 260.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/15                | J                               |                                |                                                                   |
| 261.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               |                                |                                                                   |
| 262. Aston/Fairpointe MidCap Inc. (ABMIX)                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               |                                |                                                                   |
| 263.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               |                                |                                                                   |
| 264. Fidelity Advisors New Insights (FINSX)                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | K                               | A                              |                                                                   |
| 265.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 266.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               | A                              |                                                                   |
| 267. Franklin NY Tax Free TR (FNYZX)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 268.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/15                | J                               |                                |                                                                   |
| 269.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               |                                |                                                                   |
| 270. Goldman Sachs Small Cap (GSSIX)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | J                               | A                              |                                                                   |
| 271.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 272.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 273. Goldman Sachs Emerging Markets (GSDIX)                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 274.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/15                | J                               |                                |                                                                   |
| 275.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               |                                |                                                                   |
| 276. Oakmark Fd (OAKMX)                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | J                               | A                              |                                                                   |
| 277.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 278.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               | B                              |                                                                   |
| 279. JP Morgan TrII Small Cap Growth (JISEX)                                                                                | A                                       | Distribution                                  |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | J                               | A                              |                                                                   |
| 280.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 281.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               | A                              |                                                                   |
| 282. JPM Diversified MidCap (HLGEX)                                                                                         | A                                       | Distribution                                  |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | J                               | A                              |                                                                   |
| 283.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 284.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               | A                              |                                                                   |
| 285. Oppenheimer Develop kts FD Cl Y<br>(ODYVX)                                                                             | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 286.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               |                                |                                                                   |
| 287.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               |                                |                                                                   |
| 288. TRPrice Summit Muncpl Fd (PRINX)                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 289.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/15                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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Date of Report

05/15/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 290.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               | A                              |                                                                   |
| 291. TRPrice Tax Free (PRFHX)                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 292.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/15                | J                               |                                |                                                                   |
| 293.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               | A                              |                                                                   |
| 294. iShates Russell 2000 ETF (IWM)                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/25/15                | J                               | A                              |                                                                   |
| 295.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               | A                              |                                                                   |
| 296. iRussell 1000 Grth (IWF)                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/25/15                | J                               | A                              |                                                                   |
| 297.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/27/15                | J                               | A                              |                                                                   |
| 298.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/27/15                | J                               | B                              |                                                                   |
| 299. iRussell 1000 ETF (IWB)                                                                                                | B                                       | Distribution                                  |                                                 |                                           | Buy<br>(add'l)                                  | 03/25/15                | J                               |                                |                                                                   |
| 300.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 301.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | J                               | A                              |                                                                   |
| 302. Dodge and Cox Fds Inter.(DODFX)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/23/15                | J                               | A                              |                                                                   |
| 303.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |
| 304.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               |                                |                                                                   |
| 305. Dodge and Cox Stock Fds (DODGX)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/15                | J                               |                                |                                                                   |
| 306.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

05/15/2016

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 307.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/20/15                | K                               | B                              |                                                                   |
| 308. iShares MSCI EAFE ETF (EFA)                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/25/15                | J                               |                                |                                                                   |
| 309.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/19/15                | J                               |                                |                                                                   |
| 310.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/27/15                | K                               |                                |                                                                   |
| 311. Bernstein Diversified Municipal Portfolio Fd<br>SNDPX                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/09/15                | J                               |                                |                                                                   |
| 312.                                                                                                                        | A                                       | Distribution                                  |                                                 |                                           | Buy<br>(add'l)                                  | 03/31/16                | J                               |                                |                                                                   |
| 313. Fidelity Advisor Emerging Mkts Inc. Fd.<br>FMKIX                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/09/15                | J                               |                                |                                                                   |
| 314. Franklin High Yield Tax Free Inc. FHYVX                                                                                | A                                       | Distribution                                  | L                                               | T                                         | Buy                                             | 11/09/15                | J                               |                                |                                                                   |
| 315.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/25/16                | J                               | A                              |                                                                   |
| 316. Nuveen NY Muni. Bd Fd NTTYX                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 12/03/15                | J                               |                                |                                                                   |
| 317.                                                                                                                        | A                                       | Distribution                                  |                                                 |                                           | Sold<br>(part)                                  | 01/26/16                | J                               | A                              |                                                                   |
| 318. TIAA-CREF Emerging Mkts Equity Index<br>FD TEQLX                                                                       | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 11/09/15                | K                               |                                |                                                                   |
| 319.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/16/15                | J                               |                                |                                                                   |
| 320.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/05/16                | J                               |                                |                                                                   |
| 321. iShares TR MSCI EAFE ETF (EFA)                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 11/25/15                | K                               |                                |                                                                   |
| 322.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/25/16                | J                               |                                |                                                                   |
| 323. iShares TR Russell MidCap Value ETF<br>(IWS)                                                                           | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 11/25/15                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheindlin, Shira A.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                               |   |          |   |   |                |          |   |   |  |
|-----------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 324. iShare TR Russell MidCap Gth ETF (IWP)   | A | Dividend | J | T | Buy            | 01/25/16 | J |   |  |
| 325.                                          |   |          |   |   | Buy<br>(add'l) | 01/27/16 | J |   |  |
| 326. ishares TR Russell 1000 Value ETF (IWD)  | A | Dividend | K | T | Buy            | 11/25/15 | K |   |  |
| 327.                                          |   |          |   |   | Buy<br>(add'l) | 01/25/16 | J |   |  |
| 328. iShares TR Russell 1000 Gth ETF (IWF)    | A | Dividend | K | T | Buy            | 11/25/15 | K |   |  |
| 329.                                          |   |          |   |   | Buy<br>(add'l) | 01/25/16 | J |   |  |
| 330. iShares TR Russell 2000 Value EFT (IWN)  | A | Dividend | J | T | Buy            | 11/25/15 | J |   |  |
| 331.                                          |   |          |   |   | Sold<br>(part) | 01/25/16 | J |   |  |
| 332. iShares 2000 Gth ETF (IWO)               | A | Dividend | J | T | Buy            | 11/25/15 | J |   |  |
| 333. iShares TR MSCI BAFE Small Cap ETF (SCZ) | A | Dividend | J | T | Buy            | 11/25/15 | J |   |  |
| 334. iShares TR Russell MidCap ETF (IWR)      | A | Dividend |   |   | Buy            | 11/09/15 | J |   |  |
| 335.                                          |   |          |   |   | Sold           | 01/25/16 | J |   |  |
| 336. Thornberg Int. Muni. Nfl (THMLX)         |   | None     |   |   | Buy            | 11/09/15 | J |   |  |
| 337.                                          |   |          |   |   | Sold           | 12/03/15 | J | A |  |
| 338. SPDR SER TR Dow Jones REIT ETF (RWR)     | A | Dividend | J | T | Buy            | 11/09/15 | J |   |  |
| 339.                                          |   |          |   |   | Buy<br>(add'l) | 01/25/15 | J |   |  |
| 340. Brokerage Acct #7 (Morgan Stanley)       |   |          |   |   |                |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Scheidlin, Shira A.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 341. Morgan Stanley Bank NA (Sweep Acct.                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 342. Invesco Hi-Yield Muni C (ACTFX)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 343. Nabors Ind. Lmted (NBR)                                                                                                |                                         | None                                          | J                                               | T                                         | Buy                                             | 01/21/16                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Scheidlin, Shira A.

Date of Report

05/15/2016

**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/ Shira A. Scheindlin**

**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