

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Mann, Roanne L.	2. Court or Organization United States District Court - Eastern District of New York	3. Date of Report 04/17/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge - Full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court - E.D.N.Y. 225 Cadman Plaza East Room 1220 Brooklyn, New York 11201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Power of Attorney (not exercised)	Relative #1
2. Custodian/Trustee	Two nonreportable bank accounts opened for dependent children
3. Trustee	Life insurance trust (unfunded)
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

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

DATE

SOURCE AND TYPE

1. 2016

Self-employed (law partner)

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.

2.

3.

4.

5.

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Federal Bar Council	5/9/16 Law Day Dinner	\$475.00
2.	Federal Bar Council	11/23/16 Thanksgiving Luncheon	\$475.00
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. FMA ACCOUNT #1:									
2. -Morgan StanleyMoney Mkt.	A	Interest	M	T					
3. -Clearbridge All Cap Value A	D	Dividend	K	T					
4. IRA ACCOUNT #1:									
5. -Morgan Stanley Money Mkt. Funds	A	Interest	N	T					
6. -Treasury strips/bonds		None	M	T	Redeemed (part)	11/01/16	M	F	
7.					Redeemed (part)	11/11/16	M	F	
8. -Clearbridge All Cap Value A	A	Dividend	K	T					
9. -Clearbridge Dividend Strat A	A	Dividend	K	T					
10. -Clearbridge Agg. Growth A	A	Dividend	K	T					
11. FMA ACCOUNT #2:									
12. -Morgan Stanley Bk. Dep. Program	A	Interest	O	T					
13. -US Treasury bills	B	Interest	P1	T	Redeemed (part)	02/04/16	O		
14.					Buy (add'l)	02/04/16	P1		
15.					Redeemed (part)	03/31/16	O		
16.					Buy (add'l)	04/04/16	O		
17.					Redeemed (part)	05/05/16	P1		

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

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18.					Buy (add'l)	05/06/16	P1		
19.					Redeemed (part)	10/13/16	O		
20.					Buy (add'l)	10/17/16	O		
21.					Buy (add'l)	11/17/16	N		
22.					Redeemed (part)	12/08/16	P1		
23.					Buy (add'l)	12/13/16	P1		
24. CGSH PARTNERS INV. SERIES B	F	Distribution	M	T					
25. IRA ACCOUNT #2:									
26. -Money Mkt. Funds Morgan Stanley	A	Interest	L	T					
27. -Avis Budget Grp. common stock		None	J	T					
28. -Duke Energy Corp. Holding Co. common stock	A	Dividend	J	T					
29. -Spectra Energy Corp. common stock	A	Dividend	J	T					
30. -Wyndham Worldwide common stock	A	Dividend	J	T					
31. FIDELITY TOPS ACCOUNT (retirement):									
32. -Vanguard Target 2025		None	P1	T	Buy	03/17/16	K		
33.					Buy	04/18/16	K		
34.					Buy	09/30/16	N		See explanation Part VIII

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. TD Bank Account #1	A	Interest	J	T					
36. TD Bank Account #2	A	Interest	J	T					
37. JPMorgan Chase Bank Account		None	J	T					
38. IRA ACCOUNT #3									
39. -Money Mkt Funds Morgan Stanley	A	Interest	M	T					
40. -Clearbridge Agg. Growth I	A	Dividend	L	T	Buy	11/22/16	K		
41. -Davis NY Venture Y	A	Dividend	K	T	Buy	12/19/16	K		
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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52.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									
63.									

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

Part I, line 3 - trust has no reportable assets

Part VII, line 34 - rollover in funds

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Roanne L. Mann**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544