

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) Griesa, Thomas P.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (senior status)	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 Southern District of New York 500 Pearl Street, Room 1630 New York, NY 10007		
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.	Trustee	Asset Trust #1
2.		
3.		
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Citibank (Checking Account)	A	Interest	N	T					
2. AT&T (T)	C	Dividend	L	T					
3. Alcatel-Lucent (ALU)		None			Sold	06/02/16	J		
4. Ameren (AEE)	B	Dividend	L	T					
5. Comcast (CMCSA)	A	Dividend	J	T					
6. Exelon (EXC)	B	Dividend	K	T					
7. Great Plains Energy (GXP)	B	Dividend	K	T					
8. Southern Co. (SO)	D	Dividend	M	T					
9. Western Asset NY Municipals	E	Dividend			Sold	10/18/16	O		
10. IRA for T.P. Griesa: Bond Fund of America	A	Interest	L	T					
11. NEW YORK NY SUBSER I-1 (CUSIP 64966G-S4-5)	B	Interest	K	T					
12. NEW YORK NY SUBSER H-1 (CUSIP 64966H-GW-4)	B	Interest	K	T					
13. NEW YORK ST DORM AUTH ST PERS INCOME (CUSIP 649902-LM-3)	A	Interest	K	T					
14. NEW YORK STTWY AUTH GEN REV SER H FSA-CR (CUSIP 650009-WE-9)	B	Interest	K	T					
15. NEW YORK NY CITY MUN WTR FIN AUTH WTR (CUSIP 64972F-XL-5)	B	Interest	K	T					
16. NEW YORK NY CITY TRANSITIONAL FIN (CUSIP 64971Q-CU-5)	B	Interest	K	T					
17. NEW YORK ST TWY AUTH ST PERS INCOME TAX (CUSIP 650028-LC-5)	B	Interest	K	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. NEW YORK NY SUBSER D-I-AMBAC TCRS-BNY (CUSIP 64966G-ZX-3)	B	Interest	K	T					
19. INVESTORS QUALITY TAX EXEMPT TR (CUSIP 46172E-42-7)	E	Dividend	O	T					
20. NEW YORK NY ETC FDG-SER B (64966HD31)	D	Interest	M	T					
21. NEW YORK N Y PREREFUNDED-SER D (64966LJ36)	B	Interest	K	T					
22. NEW YORK N Y ETC PREREFUNDED 2016 (64966MDX4)	A	Interest	J	T					
23. NEW YORK N Y UNREFUNDED (64966LJ44)	A	Interest	K	T					
24. NEW YORK ST URBAN DEV CORP REV (6500353A4)	B	Interest	K	T					
25. NEW YORK ST ENVIRONMENTAL FACS (64985YGV6)	A	Interest	J	T					
26. NEW YORK ST URBAN DEV CORP REV RFDG-ST (650035D88)	D	Interest	M	T					
27. METROPOLITAN TRANSN AUTH N Y REV (59259YQX0)	C	Interest	M	T					
28. NEW YORK ST ENVIRONMENTAL FACS (64985YHM5)	A	Interest	J	T					
29. NEW YORK ST URBAN DEV CORP REV (6500353K2)	A	Interest	J	T					
30. NEW YORK ST TWY AUTH ST PERS INCOME TAX (650028TC7)	D	Interest	M	T					
31. NEW YORK N Y ETC UNREFUNDED (64966MAJ8)	B	Interest	K	T					
32. FT UNIT 5045 MUN INCOME SELECT CLOSED SER 63 (30284W350)	D	Dividend			Matured	09/15/16	M	D	
33. FT UNIT 5314 EUROPEAN DEEP VALUE (30285V799)	C	Dividend			Matured	12/30/16	M	E	
34. FT UNIT 5448 INT RATE HEDGE PORT (30286E788)	D	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 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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	(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)

35. FT UNIT 5641 U S REV PORTFOLIO SER 4 SEMI (30287C260)	B	Dividend	L	T					
36. FT UNIT 5727 INTL CAP STRENGTH PORT (30287N266)	C	Dividend	M	T					
37. FT UNIT 6249 MUN INCOME SELECT CLOSED (30300L230)	D	Dividend	M	T					
38. PUTNAM U.S. GOVERNMENT INCOME (PGSIX)	E	Dividend	O	T	Buy	10/18/16	O		
39. Asset Trust #1 (H)									
40. - AT&T Inc.	E	Dividend	O	T	Sold (part)	01/13/16	M	E	
41. - WPX Energy Inc.		None	K	T					
42. - CSX Corp.	D	Dividend	N	T					
43. - Comcast Corp.	D	Dividend	O	T					
44. - Franklin Resources Inc.	D	Dividend	O	T					
45. - Glatfelter P H Co.	B	Dividend	L	T					
46. - Great Plains Energy Inc.	C	Dividend	M	T					
47. - Hershey Co.	D	Dividend	N	T					
48. - Host Hotels & Resorts Inc.	B	Dividend	K	T					
49. - Kansas City Southern Inds	D	Dividend	O	T					
50. - Kellogg Co.	D	Dividend	N	T					
51. - Kimberly Clark Corp.	E	Dividend	N	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Monsanto Co.	D	Dividend	N	T					
53. - Neenah Paper Inc.	C	Dividend	M	T					
54. - News Corp. Class A	A	Dividend	K	T					
55. - Principal Financial Group Inc.	C	Dividend	M	T					
56. - Starwood Hotels & Resorts	C	Dividend			Merged (with line 88)	09/23/16	L	F	
57. - Time Warner Inc.	C	Dividend	M	T					
58. - Time Warner Cable	A	Dividend			Merged (with line 86)	05/20/16	L	E	
59. - US Bancorp	D	Dividend	N	T					
60. - Union Pacific Corp.	E	Dividend	O	T	Sold (part)	01/13/16	M	G	
61. - Williams Cos Inc.	D	Dividend	N	T					
62. - WEC Energy Group Inc.	E	Dividend	O	T					
63. - Franklin Real Estate Securities	D	Dividend	O	T	Sold (part)	01/13/16	L		
64. - Vanguard Information Technology ETF	C	Dividend	N	T					
65. - Twenty-First Century Fox Inc.	C	Dividend	M	T					
66. - Time Inc.	A	Dividend	J	T					
67. - Halyard Health Inc.		None	K	T					
68. - Centerpoint Energy Inc.	E	Dividend	N	T					

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69. - Microsoft Corp.	E	Dividend	O	T					
70. - Mondelez Intl Inc.	D	Dividend	N	T					
71. - Hewlett Packard	B	Dividend			Sold	03/16/16	M		
72. - Intel Corp.	D	Dividend	N	T					
73. - American Funds EuroPacific Growth Fund	D	Dividend	O	T					
74. - Templeton Developing Markets Fund	A	Dividend	L	T					
75. - Columbia Marsico Fund		None			Sold	01/13/16	N		
76. - Oppenheimer Developing Markets Fund	A	Dividend	M	T					
77. - Verizon Communications Inc.	D	Dividend	N	T					
78. - Thornburg International Value Fund	D	Dividend	O	T					
79. - JP Morgan Chase & Co.	D	Dividend	M	T					
80. - Kraft Heinz Co.	D	Dividend	M	T					
81. - Johnson & Johnson	E	Dividend	O	T					
82. - US Treasury Inflation Index Notes	C	Interest	N	T					
83. - Citibank Bank Deposit Program	A	Interest	N	T					
84. - SPDR Gold Trust		None	M	T					
85. - Pepco Holdings Inc.		None			Sold	03/28/16	N	F	

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86. - Charter Communications Inc. (spinoff from Line 58)		None	L	T					
87. - ILG Inc.	A	Dividend	K	T					
88. - Marriott Intl Inc. (spinoff from Line 56)	C	Dividend	M	T					

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

The items listed on Lines 21-31, 33-37, 85 and 87 in Part VII of this report were acquired prior to the current reporting period and were inadvertently omitted from previous reports.

The items listed on Lines 10-14, 16, 21, 24, 31, 37, and 93 in Part VII of the amended 2015 report were disposed of prior to the current reporting period, and the transactions were inadvertently omitted from previous reports.

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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/ **Thomas P. Griesa**

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