AO 10
Rev. 1/2018

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Abrams, Ronnie | Southern District of New York | 08/01/2023 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| District Judge - Active Status | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| 40 Foley Square<br>New York, NY 10007-1312 | | |

***IMPORTANT NOTES:*** ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

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

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

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

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Abrams, Ronnie** | 08/01/2023 |

## 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. | 2022 | Davis Polk & Wardwell LLP - K1 |
| 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. | | | | | |

## 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. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Abrams, Ronnie** | 08/01/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. Andres Family Partnership | E | Int./Div. | N | U | | | | | |
| 2. Rosbur Corporation | D | Dividend | N | T | | | | | |
| 3. Citibank Cash Accounts | A | Interest | M | T | | | | | |
| 4. Stetson Capital Fund III LP (through DPW) | A | Int./Div. | K | U | Buy | 12/08/22 | K | | |
| 5. Brokerage Accounts (H) | | | | | | | | | |
| 6. Morgan Stanley - MMA - Cash | A | Interest | K | T | | | | | |
| 7. Delaware Diversified Income Fund | A | Dividend | J | T | | | | | |
| 8. Cullen International High Dividend Fund - Institutional Class | D | Dividend | M | T | | | | | |
| 9. Lord Abbett Growth Leaders Fund | A | Dividend | L | T | | | | | |
| 10. Lord Abbett Affiliated Fund | E | Dividend | M | T | | | | | |
| 11. Pimco Income I2 | D | Dividend | M | T | Sold (part) | 11/08/22 | L | A | |
| 12. | | | | | Sold (part) | 11/09/22 | K | A | |
| 13. | | | | | Sold (part) | 11/10/22 | J | A | |
| 14. | | | | | Sold (part) | 12/09/22 | K | A | |
| 15. Guggenheim Macro Opport I | D | Dividend | M | T | Sold (part) | 11/08/22 | K | A | |
| 16. | | | | | Sold (part) | 11/09/22 | K | A | |
| 17. | | | | | Sold (part) | 11/10/22 | J | A | |

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
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| **Abrams, Ronnie** | 08/01/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (1) Amount Code 1 (A-H) | (2) Type (e g , div , rent, or int ) | (1) Value Code 2 (J-P) | (2) Value Method Code 3 (Q-W) | (1) Type (e g , buy, sell, redemption) | (2) Date mm/dd/yy | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| 18. Delaware Value Instl | D | Dividend | M | T | | | | | |
| 19. Doubleline Total Return | C | Dividend | M | T | | | | | |
| 20. Cullen Emerging Mkts High Div | A | Dividend | J | T | | | | | |
| 21. PGIM Jennison Growth Fund | C | Dividend | M | T | | | | | |
| 22. MSIF Ultra-Short Income Fund | B | Dividend | | | Buy | 02/01/22 | P1 | | |
| 23. | | | | | Sold (part) | 4/12/22 | L | A | |
| 24. | | | | | Sold (part) | 04/13/22 | M | A | |
| 25. | | | | | Sold (part) | 05/06/22 | N | A | |
| 26. | | | | | Sold (part) | 05/18/22 | K | A | |
| 27. | | | | | Sold (part) | 06/09/22 | M | A | |
| 28. | | | | | Sold (part) | 06/22/22 | K | A | |
| 29. | | | | | Sold (part) | 06/27/22 | M | A | |
| 30. | | | | | Sold | 07/20/22 | M | A | |
| 31. Harding Loevner Intl Equity Inst | D | Dividend | N | T | | | | | |
| 32. Lord Abbett Hi Yld Muni Bond Fund | D | Dividend | | | Sold (part) | 11/08/22 | L | A | |
| 33. | | | | | Sold | 11/09/22 | K | A | |
| 34. MSIF Growth Fund | D | Dividend | L | T | | | | | |

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. MSILF Government PTF | A | Dividend | J | T | | | | | |
| 36. Metropolitan Wst Uncnstrd Bd I | B | Dividend | | | Sold | 11/10/22 | K | A | |
| 37. Performance Trust Strat Bd I | D | Dividend | M | T | Sold (part) | 11/08/22 | K | A | |
| 38. Principal Small Midcap Div Inc I | D | Dividend | M | T | | | | | |
| 39. Principal SPC Prf & Cp Sec Inc I | D | Dividend | L | T | Sold (part) | 11/08/22 | M | A | |
| 40. | | | | | Sold (part) | 11/10/22 | K | A | |
| 41. Virtus Kar Small-Cap Value I | D | Dividend | M | T | | | | | |
| 42. JP Morgan Equity Income I | E | Dividend | O | T | | | | | |
| 43. VSS II Onshore Feeder CPV LP | D | Int./Div. | M | U | Buy (add'l) | 02/10/22 | J | | |
| 44. | | | | | Buy (add'l) | 3/29/22 | J | | |
| 45. | | | | | Buy (add'l) | 05/31/22 | J | | |
| 46. | | | | | Buy (add'l) | 08/25/22 | J | | |
| 47. | | | | | Buy (add'l) | 11/04/22 | J | | |
| 48. | | | | | Buy (add'l) | 12/29/22 | J | | |
| 49. Ashbridge Secondaries II LP | B | Int./Div. | M | U | Buy (add'l) | 06/30/22 | K | | |
| 50. | | | | | Buy (add'l) | 08/25/22 | K | | |
| 51. | | | | | Buy (add'l) | 12/20/22 | J | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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| 52. HedgePremier/Balyasny Fund II LP | E | Int./Div. | M | U | | | | | |
| 53. JP Morgan Income I | D | Int./Div. | L | T | Sold (part) | 01/05/22 | K | A | |
| 54. | | | | | Sold (part) | 11/10/22 | K | A | |
| 55. Lord Abbett FLT RT | D | Int./Div. | M | T | Sold (part) | 11/08/22 | K | A | |
| 56. | | | | | Sold (part) | 11/10/22 | J | A | |
| 57. PGIM Total Return Bond Z | B | Int./Div. | | | Sold | 11/10/22 | K | A | |
| 58. LDR Preferred Income Fund | A | Int./Div. | M | U | Buy (add'l) | 12/31/22 | J | | |
| 59. Starwood Real Estate Income Fund | D | Dividend | M | T | Buy (add'l) | 01/14/22 | J | | |
| 60. | | | | | Buy (add'l) | 02/08/22 | J | | |
| 61. | | | | | Buy (add'l) | 03/08/22 | J | | |
| 62. | | | | | Buy (add'l) | 04/08/22 | J | | |
| 63. | | | | | Buy (add'l) | 05/06/22 | J | | |
| 64. | | | | | Buy (add'l) | 06/13/22 | J | | |
| 65. | | | | | Buy (add'l) | 07/15/22 | J | | |
| 66. | | | | | Buy (add'l) | 08/10/22 | J | | |
| 67. | | | | | Buy (add'l) | 09/13/22 | J | | |
| 68. | | | | | Buy (add'l) | 10/11/22 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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| 3 Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | 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 | B | | C | | D | | | | |
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| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) |
| 69. | | | | | Buy (add'l) | 11/11/22 | J | | |
| 70. | | | | | Buy (add'l) | 12/07/22 | J | | |
| 71. NB Select Opps Fund IV | A | Int./Div. | M | U | Buy (add'l) | 01/14/22 | K | | |
| 72. Apollo X Onshore Feeder LP | A | Int./Div. | J | U | Buy | 12/14/22 | J | | |
| 73. NB Select Opps Fund V | A | Int./Div. | L | U | Buy | 05/02/22 | K | | |
| 74. | | | | | Buy (add'l) | 05/25/22 | K | | |
| 75. | | | | | Buy (add'l) | 08/05/22 | K | | |
| 76. | | | | | Buy (add'l) | 11/17/22 | K | | |
| 77. IRA # 1 (H) | | | | | | | | | |
| 78. Morgan Stanley - MMA - Cash | A | Interest | J | T | | | | | |
| 79. Cullen International High Dividend Fund - Institutional Class | B | Dividend | L | T | | | | | |
| 80. AllSpring Emerging Markets - Formerly Wells Fargo | A | Dividend | K | T | | | | | |
| 81. Pimco Total Return Fund - Class P | B | Dividend | K | T | Buy (add'l) | 09/21/22 | K | | |
| 82. Angel Oak Multi Strategy Income | A | Dividend | J | T | | | | | |
| 83. EV Income Fund of Boston I | A | Dividend | J | T | | | | | |
| 84. Harbor Cap Appreciation | A | Dividend | M | T | | | | | |
| 85. Delaware Value Instl | E | Dividend | N | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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| 86. Doubleline Total Return I | A | Dividend | K | T | | | | | |
| 87. Harding Loevner Intl Eqty | B | Dividend | K | T | | | | | |
| 88. Principal SM MDCP Div Inc I | D | Dividend | M | T | Sold (part) | 10/11/22 | J | A | |
| 89. SPDR S&P 500 ETF Trust | B | Dividend | L | T | | | | | |
| 90. NB Select Opportunities Fund III LP | A | Int./Div. | N | U | | | | | |
| 91. MSIF Ultra-Short Income A | A | Dividend | K | T | Buy | 11/09/22 | K | | |
| 92. Inherited IRA (H) | | | | | | | | | |
| 93. Morgan Stanley - MMA - Cash | A | Interest | J | T | | | | | |
| 94. Cullen International High Dividend Fund - Institutional Class | A | Dividend | | | Sold | 11/09/22 | J | A | |
| 95. Harbor Cap Appreciation Inst | A | Dividend | M | T | | | | | |
| 96. SPDR S&P 500 ETF Trust | A | Dividend | K | T | | | | | |
| 97. NYS 529 College Savings Plans - Managed by Vanguard (H) | | | | | | | | | |
| 98. Vanguard Developed Market Index | A | Int./Div. | K | T | | | | | |
| 99. Vanguard Growth Stock Index Portfolio | A | Int./Div. | K | T | | | | | |
| 100. Vanguard Value Stock Index Portfolio | A | Int./Div. | K | T | | | | | |
| 101. Vanguard Small Cap Stock Index | A | Int./Div. | K | T | | | | | |
| 102. Trusts (H) - Beneficiaries are [redacted] | | | | | | | | | |

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) |
| 103. Morgan Stanley - MMA - Cash | A | Interest | J | T | | | | | |
| 104. IShares MSCI Eafe | C | Int./Div. | M | T | Buy (add'l) | 11/18/22 | K | | |
| 105. Ishares MSCI Emerging Mkts | A | Int./Div. | K | T | Buy (add'l) | 11/18/22 | J | | |
| 106. SPDR S&P 500 ETF | C | Int./Div. | N | T | Buy (add'l) | 11/18/22 | L | | |
| 107. Davis Polk Wardell 401K Plan(H) | | | | | | | | | |
| 108. FID 500 Index | A | Int./Div. | N | T | | | | | |
| 109. MSIF CP FX Inc | A | Int./Div. | K | T | | | | | |
| 110. Vang Tot Intl Stk | A | Int./Div. | L | T | | | | | |
| 111. Davis Polk Wardell HR10 Plan(H) | | | | | | | | | |
| 112. FID Diversified Intl | A | Int./Div. | L | T | | | | | |
| 113. FID Freedom | A | Int./Div. | M | T | | | | | |
| 114. FID 500 Index | A | Int./Div. | N | T | | | | | |
| 115. Vang Tot Intl Stk | A | Int./Div. | L | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Abrams, Ronnie** | 08/01/2023 |

## 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/ Ronnie Abrams**

**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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