AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Koeltl, John G.	U.S.D.C. Southern District-NY	05/09/2022
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**
U.S. District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2021 **to** 12/31/2021
	5b. ☐ Amended Report	

7. Chambers or Office Address

United States Courthouse
500 Pearl St. Room 1030
New York,New York 10007-1581

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	ADJUNCT LAW PROFESSOR	NY UNIVERSITY LAW SCHOOL
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	NEW YORK UNIVERSITY - TEACHING	$28,845.00
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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Koeltl, John G.	05/09/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	JOHNSON & JOHNSON - (COMMON)	D	Dividend	N	T					
2.	PFIZER INC. - (COMMON)	D	Dividend	M	T					
3.	ROYAL DUTCH SHELL PLC - (COMMON)	B	Dividend	L	T					
4.	FEDERATED KAUFMANN LARGE CAP FUND CL A - MUTUAL FUND	C	Dividend	K	T					
5.	VIATRIS INC. - (COMMON)	B	Dividend	K	T	Buy (add'l)	02/03/21	L		
6.	MERRILL LYNCH FIA MONEY FUND - N.Y.,N.Y.	A	Interest	L	T	Buy (add'l)	12/31/21	K		Net Increase To MM Fund
7.	DUTCHESS CTY BOND 4.5% DUE 08/01/26	B	Interest			Redeemed	01/15/21	K	A	
8.	INVESCO ROCHESTER LTD TERM NY MUNI FD CL A - MUTUAL FUND	B	Dividend	M	T	Buy	12/06/21	M		
9.	NY ST DORM AT RV ST BOND 5% DUE 02/15/24	B	Interest			Redeemed	07/28/21	K	A	
10.	NEW YORK NY G.O. BDS 2019 4% DUE 12/01/2041	B	Interest	L	T					
11.	METROPOLITAN TRANS AUTH NY REV GREEN BDS 4% DUE 11/15/2046	B	Interest	L	T					
12.	THOMPSON NY PUB IMPT BOND 4.125% DUE 09/01/29	B	Interest	L	T					
13.	N.Y. STATE CLN-DRNKNG WTR BOND 5% DUE 06/15/36	B	Interest			Redeemed	06/30/21	L	A	
14.	NEW YORK ST G.O. SER E OID BOND 4% DUE 12/15/37	B	Interest			Redeemed	12/15/21	K	A	
15.	N.Y. STATE G.O. SER A OID BOND 3.125% DUE 03/15/34	A	Interest	K	T					
16.	N.Y. STATE URBAN DEV BOND 3.25% DUE 03/15/33	B	Interest	L	T					
17.	N.Y. STATE URBAN DEV BOND 4% DUE 03/15/2048	B	Interest	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			

Name of Person Reporting	Date of Report
Koeltl, John G.	05/09/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
18. TRIBOR. BRIDGE & TUNNEL BOND 3.00% DUE 11/15/35	C	Interest	L	T					
19. NEW YORK NY CITY TRA REV BOND 3.00% DUE 02/01/37	B	Interest	L	T					
20. METROPOLITAN TRANS AUTH NY REV BOND 4.00% DUE 11/15/38	B	Interest	L	T					
21. TRIBORO BRIDGE & TUNNEL BOND 4.00% DUE 11/15/42	B	Interest	L	T					
22. NEW YORK NY CITY TFA REV BOND 4.00% DUE 02/01/44	B	Interest	L	T					
23. HUDSON YD INFA NY BOND 4.00% DUE 02/15/44 CALL DATE 02/15/17	B	Interest	L	T					
24. HUDSON YD INFA NY BOND 4.00% DUE 02/15/44	B	Interest	L	T					
25. NEW YORK NY CITY TFA REV BOND 4.00% DUE 05/01/44	B	Interest	L	T					
26. NY ST DORM AUTH SALES TAX REV SER A BOND 4.00% DUE 03/15/45	B	Interest	L	T					
27. NEW YORK ST TWY AUTH GEN REV SER A BOND 5.00% DUE 01/01/46	B	Interest	L	T					
28. NY ST DORM AUTH SALES TAX REV SER A BOND 4.00% DUE 03/15/47	B	Interest	L	T					
29. NEW YORK NY MUN WFA WTR-SS REV WTR EE	B	Interest	L	T					
30. CITIBANK CHECKING ACCOUNT - N.Y.,N.Y.		None	J	T					
31. MERRILL LYNCH (IRA ROLLOVER) - ML BANK CASH ACCOUNT	A	Interest	M	T	Buy (add'l)	12/31/21	J		Net Increase to MM Fund
32. MERRILL LYNCH (IRA ROLLOVER) - ALGER CAP. APPREC. FUND CL Z	F	Dividend	N	T					
33. MERRILL LYNCH (IRA ROLLOVER) - MFS VALUE FUND CL I	D	Dividend	M	T	Buy (add'l)	03/31/21	L		
34. MERRILL LYNCH(IRA ROLLOVER)-INVESCO DEV. MKTS FUND CL Y	D	Dividend	M	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

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35.	MERRILL LYNCH(IRA ROLLOVER)-FED. KAUFMAN LRG CAP FUND CL IS	E	Dividend	M	T	Sold (part)	03/31/21	M	F	
36.	MERRILL LYNCH(IRA ROLLOVER)-ISHARES RUSSELL 1000 FUND	D	Dividend	O	T					
37.	MERRILL LYNCH(IRA ROLLOVER)-PRUDENTIAL SHORT TERM CORP. BOND FUND Z	D	Dividend	N	T	Buy (add'l)	02/03/21	K		
38.	MERRILL LYNCH(IRA ROLLOVER)-ISHARES CORE S&P 500 EFT	D	Dividend	O	T					
39.	MERRILL LYNCH(IRA ROLLOVER)-VANGUARD TOTAL STOCK MARKET ETF	C	Dividend	N	T					
40.	MERRILL LYNCH(IRA ROLLOVER)-ATT BOND 3% DUE 06/30/22	C	Interest	M	T					
41.	MERRILL LYNCH(IRA ROLLOVER)-VERIZON BOND 4.272% DUE 01/15/36	C	Interest	M	T					
42.	MERRILL LYNCH(IRA ROLLOVER)-ATT BOND 4.5% DUE 05/15/35	B	Interest	L	T					
43.	MERRILL LYNCH(IRA ROLLOVER)-ISHARES TR RUSSELL 2000	A	Dividend	L	T					
44.	MERRILL LYNCH(IRA ROLLOVER)-PIMCO INCOME FUND	E	Dividend	N	T					
45.	MERRILL LYNCH(IRA ROLLOVER)-WESTERN ASSET CORE PLUS BOND FD CL I	D	Dividend	M	T					
46.	MERRILL LYNCH(IRA ROLLOVER)-COHEN & STEERS PREFERRED SEC & INCOME FD	D	Dividend	N	T	Buy (add'l)	02/03/21	K		
47.	[redacted] PERSONAL LOAN		None	K	T					
48.	MERRILL LYNCH MONEY MARKET ACCOUNTS (MONEY MARKET FUNDS)		None	K	T	Buy (add'l)	12/31/21	J		Net Increase to MM Fund
49.	ALTRIA GROUP INC (COMMON)	D	Dividend	M	T					
50.	AMN ELEC POWER CO. (COMMON)	B	Dividend	K	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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51. AT&T (COMMON)	D	Dividend	L	T					
52. BP PLC SPON ADR (COMMON)	A	Dividend	J	T					
53. CHEVRON CORP (COMMON)	A	Dividend	J	T					
54. CONSOLIDATED EDISON INC. (COMMON)	A	Dividend	J	T					
55. DAIMLER A (COMMON)	A	Dividend	J	T					
56. DOMINION RESOURCES INC. (COMMON)	C	Dividend	L	T					
57. DUKE ENERGY CORP. (COMMON)	A	Dividend	J	T					
58. EDISON INT'L CALIF (COMMON)	A	Dividend	J	T					
59. EXELON CORP. (COMMON)	A	Dividend	J	T					
60. EXXON MOBIL CORP. (COMMON)	B	Dividend	K	T					
61. GENERAL ELECTRIC (COMMON)	A	Dividend			Sold	08/02/21	J	A	
62. HERSHEY CO. (COMMON)	B	Dividend	L	T					
63. HESS CORP. (COMMON)	A	Dividend	K	T					
64. HONEYWELL INT'L INC. (COMMON)	A	Dividend	K	T					
65. THE KRAFT/HEINZ CO. (COMMON)	B	Dividend	K	T					
66. MARATHON OIL CORP. (COMMON)	A	Dividend	J	T					
67. MONDELEZ INTERNATIONAL INC. (COMMON)	C	Dividend	M	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

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

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68.	EVERSOURCE ENERGY (COMMON)	A	Dividend	J	T					
69.	CARRIER GLOBAL CORP (COMMON)	A	Dividend	J	T					
70.	OTIS WORLDWIDE CORP (COMMON)	A	Dividend	J	T					
71.	PHILIP MORRIS INT'L INC. (COMMON)	E	Dividend	N	T					
72.	PUBLIC SERVICE ENTERPRISE GROUP (COMMON)	C	Dividend	M	T					
73.	ROCKWELL AUTOMATION INC. (COMMON)	B	Dividend	M	T					
74.	SOUTHERN COMPANY (COMMON)	B	Dividend	K	T					
75.	ENBRIDGE INC. (COMMON)	B	Dividend	K	T					
76.	VERIZON COMM. (COMMON)	C	Dividend	L	T					
77.	DEUTSCHE NY TAX FREE INCOME FUND CL A (MUTUAL FUND)	A	Dividend	J	T					
78.	ISHARES RUSSELL 1000 FUND (MUTUAL FUND)	B	Dividend	M	T					
79.	INVESCO ROCHESTER LIMITED TERM NY MUNI BOND FUND A (MUTUAL FUND)	C	Dividend	L	T					
80.	WESTERN ASSET HIGH INCOME FUND II (MUTUAL FUND)	A	Dividend	J	T					
81.	WABTEC (COMMON)	A	Dividend	J	T					
82.	ISHARES CORE S&P 500 ETF (MUTUAL FUND)	A	Dividend	K	T					
83.	RAYTHEON TECHNOLOGIES CORP (COMMON)	A	Dividend	J	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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84. GENERAL ELE CO REG SHS (COMMON)	A	Dividend	J	T	Buy	08/02/21	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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Koeltl, John G.	05/09/2022

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

Name of Person Reporting	Date of Report
Koeltl, John G.	05/09/2022

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/ John G. Koeltl

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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