AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Stein, Sidney H.	U.S. District Court	10/22/2024
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 - Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
U.S. Courthouse 500 Pearl Street New York, New York 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 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.	
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.			
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.	Federal Bar Council	2/16/2023 - 2/20/2023	San Juan, PR	Winter Bench and Bar Conf	Transportation, lodging, meals
2.	NY State Bar Association	5/5/2023 - 5/7/2023	Philadelphia, PA	Bar Association Meeting	Transportation, lodging, meals
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
Stein, Sidney H.	10/22/2024

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. MONEY MARKETS SHOWN BELOW (H)									
2. BNY MELLON CASH RESERVE	B	Interest	K	T					
3. JPMORGAN BANK SWEEP	A	Interest	K	T					
4. TAX EXEMPT BONDS (H)									
5. NEW YORK ST HSG FIN AGY GENHSG SER B	C	Interest	K	T					
6. NEW YORK ST MTG AGY REV HOMETOWN MTG-29-a-RMKT	C	Interest	M	T					
7. NY STATE POWER AUTH GEN REV ETMSERA	D	Interest	L	T					
8. NY STATE POWER AUTH REV & GEN PURP SCR DETM	A	Interest	K	T					
9. NY STATE POWER AUTH SER G	A	Interest	K	T					
10. NEW YORK ST HSG FIN AGT GEN SER A	D	Interest	M	T					
11. NYS REF-SER C	C	Interest	M	T					
12. NYC, NY TRANSITIONAL SER D	C	Interest	M	T					
13. NYC SER D	C	Interest	M	T					
14. NYC NY DTD 10/23/2012 SER B	B	Interest	M	T					
15. NYC NY TRA WILDLIFE CONSERVATION	C	Interest	M	T					
16. MONROE CTY NY INDL DEV CORP SER A	C	Interest			Sold	06/14/23	M	A	
17. NYS DORM AUTH SCH DIST-BOND	C	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

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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 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.	TRIBOROUGH NY BRIDGE & TUNNEL SER A	C	Interest			Sold	09/15/23	L		
19.	BAY AREA CA TOLL AUTH	A	Interest	K	T					
20.	SUFFOLK CTY NY WATER AUTH	C	Interest	M	T					
21.	NYS DORM AUTH MEMORIAL SLOAN KETTERING	B	Interest	L	T					
22.	NYC, NY MUNI WTR SER DD	B	Interest	L	T					
23.	NYC, NY WILDLIFE CONSERVATION SOC	C	Interest	M	T					
24.	NY STATE URBAN DEV	B	Interest	L	T					
25.	NEW YORK STATE DORM SER A	B	Interest	L	T					
26.	WESTCHESTER CO NY SER A	C	Interest	L	T					
27.	UTILITY DEBT SEC AU	C	Interest	L	T					
28.	NYC, NY SER E-1	C	Interest	L	T					
29.	N COUNTRY NY DEV SOLID WASTE MGT	B	Interest	L	T					
30.	PLATTSBURGH NY FIRE DIST	A	Interest	J	T					
31.	BROOKHAVEN, NY SER C	A	Interest	L	T					
32.	WESTCHESTER CTY, NY MIRIAM OSBORN MEMORIAL	A	Interest	L	T					
33.	DUTCHESS CTY, NY SER B	A	Interest			Sold	09/18/23	K		
34.	BROOKHAVEN NY SER B	A	Interest	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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☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
35. BUFFALO NY SEWER AUTH GREEN BOND	B	Interest	L	T					
36. ROCKLAND CTY NY SER C	A	Interest			Sold	07/05/23	L		
37. TRIBOROUGH NY BRIDGE SENIOR LIEN C	A	Interest			Sold	05/06/23	L		
38. BABYLON NY SER B	A	Interest			Sold	01/24/23	L		
39. WESTERN NASSAU CTY NY	B	Interest	K	T					
40. NEW YORK ST DORM AUTH	B	Interest	K	T					
41. NYC NY HSG DEV CORP SER B2	A	Interest			Sold	07/03/23	K		
42. WINDY GAP FIRMING PR	B	Interest	L	T					
43. BAY AREA CA TOLL AUTH	A	Interest	K	T					
44. MARYLAND ST CMNTY DE 3/1/28	B	Interest	K	T					
45. HUDSON YARDS INFRAST	B	Interest	K	T					
46. INDIANA FIN AUTH	B	Interest	L	T					
47. HAMILTON OH CITY SCH	A	Interest	L	T					
48. RHODE ISLAND ST HLTH	A	Interest	K	T					
49. NYC NY TRA	B	Interest	L	T					
50. AUSTIN TX SCH	B	Interest			Buy	01/19/23	L		
51.					Sold	07/26/23	L		

1. Income Gain Codes: (See Columns B1 and D4)
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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
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3. Value Method Codes (See Column C2)
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52. NYS ENVIRONMENT	A	Interest			Buy	06/22/23	L		
53.					Sold	11/07/23	L		
54. ROCKLAND CTY NY	A	Interest	L	T	Buy	07/05/23	L		
55. GASTON CTY NC DTD 7/11/23 B ANS	A	Interest	L	T	Buy	07/11/23	L		
56. AUSTIN TX SCH	A	Interest			Buy	07/26/23	L		
57.					Sold	09/21/23	L		
58. BATTERY PARK NY		None	L	T	Buy	08/03/23	L		
59. NYS DORM AUTH	A	Interest	L	T	Buy	08/04/23	L		
60. TEXAS ST TRANSPORTATION	A	Interest	K	T	Buy	08/14/23	K		
61. TRIBOROUGH BRIDGE NY	A	Interest			Buy	09/06/23	L		
62.					Sold	11/02/23	L		
63. TRIBOROUGH BRIDGE TUNNEL NY REF MTA	A	Interest	L	T	Buy	09/15/23	L		
64. SOUTH GLEN FALLS NY CENT SCH DIST		None	K	T	Buy	09/18/23	K		
65. TEXAS ST WATER FIN		None	L	T	Buy	09/21/23	L		
66. TRIBOROUGH BRIDGE & TUNNEL NY SENIOR LIEN SER-C 1A	A	Interest	L	T	Buy	11/02/23	L		
67. NYS ENVIRONMENT FA CS GREEN BONDS	A	Interest	L	T	Buy	11/09/23	L		
68. MUTUAL FUNDS (H)									

1. Income Gain Codes: (See Columns B1 and D4)
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2. Value Codes (See Columns C1 and D3)
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M =$100,001 - $250,000
N =$250,001 - $500,000
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69. ISHARES CORE MSCI ETF	E	Dividend	P1	T	Buy (add'l)	09/22/23	N		
70.					Buy (add'l)	12/29/23	O		
71. I SHARES ESGI AWARE ETF	D	Dividend			Buy (add'l)	09/22/23	L		
72.					Sold	12/27/23	N		
73. I SHARES GOLD ETF		None	M	T					
74. I SHARES RUSSELL MID CAP ETF	D	Dividend			Sold	12/27/23	O	E	
75. S&P 500 GROWTH ETF	D	Dividend	O	T	Sold (part)	12/27/23	N	E	
76. VANGUARD INFLATION PROTECTED ADM	D	Dividend			Sold	12/27/23	M		
77. AKRE FOCUS INSTL	E	Dividend			Sold	12/27/23	O	G	
78. KOPERNIK INTL 1		None			Sold	09/20/23	M		
79. MATTHEWS PACIFIC TIGER 1		None			Sold	09/20/23	L		
80. POLEN US SMALL COMPANY GROWTH		None			Sold	09/27/23	N	E	
81. VANGUARD DIVIDEND GROWTH	E	Dividend	O	T	Sold (part)	12/27/23	N	D	
82. VANGUARD INTERNATIONAL GROWTH	C	Dividend			Sold	12/27/23	M	D	
83. VANGUARD ULTRA SHORT TERM BOND	D	Dividend			Sold	11/08/23	M		
84. ISHARES S&P GSCI		None			Sold	09/20/23	L	D	
85. HORIZON KINETICS INFLAT BENEF ETF	B	Dividend			Sold	09/20/23	M	C	

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H1 =$1,000,001 - $5,000,000
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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
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M =$100,001 - $250,000
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3. Value Method Codes (See Column C2)
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86. VANGUARD INTL CORE STOCK	D	Dividend			Sold	12/27/23	M	E	
87. VANGUARD EXTENDED MARKET INDEX	D	Dividend			Sold	12/27/23	N	F	
88. VANGUARD ENERGY ETF	C	Dividend	M	T	Buy (add'l)	09/22/23	L		
89. VANGUARD TOTAL STOCK MARKET ETF	B	Dividend	P1	T	Buy	09/22/23	M		
90.					Buy (add'l)	12/29/23	P1		
91. DFA EMERGING MKTS		None	O	T	Buy	12/28/23	O		
92. VANGUARD HIGH YIELD TAX EXEMPT		None	N	T	Buy	12/28/23	N		
93. EATON VANCE ATLANTA CAP		None	O	T	Buy	12/28/23	O		
94. IRA (H)									
95. DFA EMERGING MARKET FUND	C	Dividend	M	T	Buy (add'l)	09/29/23	K		
96.					Sold (part)	12/27/23	L	A	
97. PIMCO TOTAL RETURN FUND INSTITUTIONAL	D	Dividend	N	T					
98. VANGUARD INTL FD FT SE DEVELOPED MKTS	B	Dividend			Buy (add'l)	09/22/23	K		
99.					Sold	12/27/23	M	E	
100. VANGUARD INDEX FDS S&P ETF	C	Dividend			Sold	12/27/23	N	F	
101. I SHARES GOLD		None	L	T					
102. I SHARES RUSSELL MID CAP ETF	A	Dividend			Sold	12/27/23	M	C	

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103. I SHARES S&P 500 GROWTH ETF	A	Dividend	L	T	Sold (part)	12/27/23	K	B	
104. DODGE & COX INCOME	A	Dividend	L	T					
105. MFS EMERGING MARKETS DEBT	B	Dividend			Sold	06/27/23	L		
106. VANGUARD HIGH YIELD LOAN ADM	D	Dividend	M	T					
107. VANGUARD INTL GROWTH	A	Dividend			Sold	12/27/23	K		
108. VANGUARD INFLATION PROTECTED ADM	C	Dividend	M	T	Buy (add'l)	12/28/23	K		
109. KOPERNIK INTL		None			Sold	09/20/23	K		
110. POLEN US SMALL COMPANY GROWTH		None			Sold	12/27/23	K		
111. VANGUARD DIVIDEND GROWTH	B	Dividend	L	T	Sold (part)	12/27/23	J	A	
112. MATTHEWS PACIFIC TIGER		None			Sold	09/20/23	K		
113. I SHARES S&P GSCI COMMODITY		None			Sold	09/20/23	K	C	
114. SCHWAB US TREASURY	C	Dividend			Sold	12/04/23	M		
115. VANGUARD ENERGY ETF	A	Dividend	K	T	Buy (add'l)	09/22/23	K		
116. VANGUARD EMERGING MARKETS	C	Dividend	L	T	Buy	06/28/23	L		
117. ISHARES CORE MS CI		None	N	T	Buy	12/29/23	N		
118. VANGUARD TOTAL STOCK MKT		None	N	T	Buy	12/29/23	N		
119. EATON VANCE ATLANTA CAP		None	L	T	Buy	12/28/23	L		

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
Stein, Sidney H.	10/22/2024

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. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. MISCELLANEOUS (H)									
121. CASH JPMORGAN CHASE	A	Interest	K	T					
122. CASH CHARLES SCHWAB	C	Interest	N	T					
123. ARBOR PPTY TRUST		None	K	T					
124. SERVICEMASTER LP		None	M	T					
125. U.S.TREASURY NOTE	A	Interest	K	T	Buy	02/23/23	K		
126. Judge Stein is only including informatiom on him for year 2023									
127. See Part VIII for further information re above row 126									

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
Stein, Sidney H.	10/22/2024

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

Part VII Line 126: Judge Stein is only including information on him for year 2023. See Ethics in Government Act of 1978 section 102(e)(2).

Name of Person Reporting	Date of Report
Stein, Sidney H.	10/22/2024

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Sidney H. Stein

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. § 13106)

Committee on Financial Disclosure
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