AO 10
Rev. 1/2014

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

*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)**<br>Abrams, Ronnie | **2. Court or Organization**<br>Southern District of New York | **3. Date of Report**<br>05/09/2014 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)**<br>District Judge - Active Status | **5a. Report Type (check appropriate type)**<br>☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | **6. Reporting Period**<br>01/01/2013<br>to<br>12/31/2013 |
| **7. Chambers or Office Address**<br>40 Foley Square<br>New York, N.Y. 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 | 05/09/2014 |

## 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. | 2013 | Davis Polk & Wardwell LLP - salary |
| 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. | | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Abrams, Ronnie | 05/09/2014 |

## 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 | 05/09/2014 |

## 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)<br>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) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | Andres Family Partnership | D | Int./Div. | M | U | | | | | |
| 2. | Rosbur Corporation | D | Dividend | M | T | | | | | |
| 3. | Silk & Halpern Reserve LLC | E | Rent | K | U | | | | | |
| 4. | First Manhattan Co. Equity Mutual Funds | A | Dividend | J | T | | | | | |
| 5. | Citibank Cash Accounts | A | Interest | N | T | | | | | |
| 6. | Brokerage Account #1 (H) Credit Suisse | | | | | | | | | |
| 7. | Credit Suisse Money Market Account f/kKa Cash | A | Interest | J | T | | | | | |
| 8. | Deleware Diversified Income Fund | A | Dividend | J | T | | | | | |
| 9. | Sterling Capital Equity Income Fund Institutional class | D | Dividend | M | T | Buy | 01/03/13 | L | | |
| 10. | Cullen International High Dividend Fund Institutional | B | Dividend | L | T | Buy | 01/04/13 | L | | |
| 11. | Wells Fargo Advantage Emerging Markets Equity Fund | A | Dividend | K | T | Buy | 01/03/13 | K | | |
| 12. | Lord Abbett Intermediate Tax Free Fund | C | Dividend | L | T | Buy | 01/03/13 | L | | |
| 13. | Lateef Fund | A | Dividend | J | T | Buy | 01/03/13 | J | | |
| 14. | IRA #1 | A | Int./Div. | M | T | Open | 09/23/13 | M | | |
| 15. | - Sterling Capital Equity Income Fund | | | | | Buy | 12/20/13 | L | | |
| 16. | - Cullen International High Dividend Fund | | | | | Buy | 10/22/13 | L | | |
| 17. | - Doubleline Total Return Bond Fund | | | | | Buy | 09/23/13 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less<br>F =$50,001 - $100,000 | B =$1,001 - $2,500<br>G =$100,001 - $1,000,000 | C =$2,501 - $5,000<br>H1 =$1,000,001 - $5,000,000 | D =$5,001 - $15,000<br>H2 =More than $5,000,000 | E =$15,001 - $50,000 |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less<br>N =$250,001 - $500,000<br>P3 =$25,000,001 - $50,000,000 | K =$15,001 - $50,000<br>O =$500,001 - $1,000,000 | L =$50,001 - $100,000<br>P1 =$1,000,001 - $5,000,000<br>P4 =More than $50,000,000 | M =$100,001 - $250,000<br>P2 =$5,000,001 - $25,000,000 | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal<br>U =Book Value | R =Cost (Real Estate Only)<br>V =Other | S =Assessment<br>W =Estimated | T =Cash Market | |

| Name of Person Reporting | Date of Report |
|---|---|
| Abrams, Ronnie | 05/09/2014 |

## 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 (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) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|---|
| 18. | - Eaton Vance Floating Rate High Income Fund | | | | | Buy | 09/23/13 | J | | |
| 19. | - Wells Fargo Advantage Emerging Markets Equity Fund | | | | | Buy | 10/22/13 | J | | |
| 20. | - Harbor High Yield Bond Fund | | | | | Buy | 09/23/13 | J | | |
| 21. | - Lateef Fimd | | | | | Buy | 12/20/13 | L | | |
| 22. | - Pimco Total Return Fund | | | | | Buy | 09/23/13 | L | | |
| 23. | IRA #2 (X) | A | Int./Div. | L | T | | | | | |
| 24. | - Cullen International High Dividend Fund (X) | | | | | | | | | |
| 25. | - Credit Suisse Floating Rate High Income Fund (X) | | | | | | | | | |
| 26. | - Doubleline Total Return Bond Fund (X) | | | | | | | | | |
| 27. | - Harbor High Yield Bond Fund (X) | | | | | | | | | |
| 28. | - Lateef Fund (X) | | | | | | | | | |
| 29. | DPW 401K Plan - American Funds Growth Fund of America | A | Int./Div. | K | T | | | | | |
| 30. | DPW 401K Plan - Spartan 500 Index Fund | A | Int./Div. | M | T | | | | | |
| 31. | DPW Hr10 Plan - Oakmark Equity & Income Fund | A | Int./Div. | L | T | | | | | |
| 32. | DPW 401K Plan - Morgan Stanley Core Plus Fixed Inc | A | Int./Div. | K | T | | | | | |
| 33. | NYS 529 College Savings Plans Managed by Vanguard: (H) | | | | | | | | | |
| 34. | - Mid Cap Stock Index Portfolio | A | Int./Div. | 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 | |
| | 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 |
|---|---|
| Abrams, Ronnie | 05/09/2014 |

## 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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. - Growth Stock Index Portfolio | B | Int./Div. | J | T | | | | | |
| 36. - Value Stock Index Portfolio | B | Int./Div. | J | T | | | | | |
| 37. - Bond Market Portfolio | A | Int./Div. | J | T | | | | | |
| 38. - Developed Markets Index | B | Int./Div. | J | T | | | | | |
| 39. - Small Cap Stock Index | B | Int./Div. | 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 | |
| | 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 |
| --- | --- |
| Abrams, Ronnie | 05/09/2014 |

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

| Name of Person Reporting | Date of Report |
| --- | --- |
| Abrams, Ronnie | 05/09/2014 |

## 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544