

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Parker, Katharine H.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 06/28/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 500 Pearl St. 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 (uncompensated)	Trust #1
2. Trustee (uncompensated)	Trust #2
3. Trustee (uncompensated)	Trust #3
4. Trustee (uncompensated)	Trust #4
5. Trustee (uncompensated)	Trust #5
6. Chair, Disability Law Committee (uncompensated)	NYC Bar Association
7.	
8.	

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. 2016	Proskauer Rose LLP Defined Benefit Pension Plan
2. 2016	Proskauer Rose LLP Keogh Plan (firm managed asset selection)
3. 2016	Proskauer Rose LLP 401(k) Plan

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Proskauer Rose LLP - allocation of profits	\$200,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	NYC Bar Association - wages
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	David Samson	Guest at Charity Event "Maestro Cares"	\$1,500.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. NY 529 Program (H)									
2. NY College Savings Program Conservative Growth Portfolio (age based)	D	Int./Div.	J	T	Distributed (part)	07/20/17	K		Tuition payment
3.					Distributed (part)	06/15/16	K		Tuition payment
4. NY 529 Program (H)									
5. NY College Savings Program, Conservative Income Portfolio (age based)	E	Int./Div.	M	T					
6. 401(k) (H)									
7. American Funds 2030 Target Date Retirement Fund Class R-6	A	Dividend			Sold	12/29/17	M		Acquired and transferred
8. Retirement Savings Plan (H)					Closed	01/06/17	M		Rollover IRA
9. NON400ZX6	A	Dividend			Sold	01/06/17	K		Rollover IRA
10. OJKB	A	Dividend			Sold	01/06/17	M		Rollover IRA
11. OJKB	A	Dividend			Sold	01/06/17	L		Rollover IRA
12. IRA (H)									
13. BNY Mellon Cash	A	Interest	K	T					
14. US Bank Cash	A	Interest	J	T					
15. CORE	A	Dividend	J	T					
16. AGG	A	Dividend	K	T					
17. ALFA	D	Dividend	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	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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18. BJBHX	A	Dividend	J	T					
19. ECON	C	Dividend	K	T					
20. GOOG	E	Dividend	K	T					
21. GOOGL	E	Dividend	K	T					
22. NCR	C	Dividend	L	T					
23. VT	F	Dividend	M	T					
24. MSFT	D	Dividend	L	T	Buy	05/12/17	K		
25. AMZN	E	Dividend	K	T	Buy	01/06/17	L		
26. Stock Account (H)									
27. Fidelity FCASH account	E	Interest	J	T					
28. AAGPX	C	Dividend	K	T					
29. AAPL	A	Dividend			Donated				
30. AAPL	A	Dividend	K	T	Buy	10/31/17	K		
31. ABBV	A	Dividend	J	T	Donated (part)				
32. ABT	A	Dividend	J	T					
33. ACMVX	D	Dividend	K	T					
34. BJBHX	A	Dividend	J	T					

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35. CAMOX	B	Dividend	J	T					
36. CHTR	A	Dividend	J	T					
37. CSCO	A	Dividend	K	T					
38. DAL	A	Dividend	J	T	Donated (part)				
39. DIS	A	Dividend	K	T	Donated (part)				
40. EFA	A	Dividend	K	T					
41. ETSY	A	Dividend	J	T					
42. EXWAX	A	Dividend	J	T					
43. FB		None			Donated				
44. FDRXX	A	Dividend	J	T	Redeemed (part)	04/04/17	J		
45. FLCSX	A	Dividend	J	T					
46. FTBFX	A	Dividend	J	T					
47. FTHRXX	A	Dividend	J	T					
48. IBM	A	Dividend	J	T					
49. IWM	A	Dividend	K	T					
50. JAVLX	D	Dividend	L	T					
51. KO	A	Dividend	J	T					

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52. NNTWX	C	Dividend	K	T					
53. OAKIX	A	Dividend	K	T					
54. PFE	C	Dividend	M	T					
55. PTSGX	C	Dividend	K	T					
56. TIME	A	Dividend	J	T					
57. TWX	A	Dividend	J	T					
58. VWO	A	Dividend	J	T					
59. Nokia	D	Dividend	J	T					
60. HRL	A	Dividend	J	T	Buy	04/04/17	J		
61. HAIDX	C	Dividend	M	T	Buy	05/15/17	M		
62. JACTX	D	Dividend	L	T	Buy	04/28/17	J		
63. UTMA Account (H)									
64. Fidelity FCASH account (Y)									
65. GIS (Y)									
66. GOOG (Y)									
67. GOOGL (Y)									
68. INTC (Y)									

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69. MRK (Y)									
70. XOM (Y)									
71. UTMA Account (H)									
72. FCASH	A	Interest	J	T					
73. AAPL	A	Dividend	J	T					
74. ARWR	A	Dividend	J	T					
75. CCXI	A	Dividend	J	T					
76. GOOG	A	Dividend	J	T					
77. VZ	A	Dividend	J	T					
78. Ziopharm (Y)									
79. INTC	A	Dividend	J	T	Buy	10/30/17	J		
80. LMT	A	Dividend	J	T	Buy	02/08/18	J		
81. Trust #1 - Mass Mutual whole life	B	Dividend	L	T					
82. Trust #2 - Athena whole life	E	Dividend	M	T					
83. Trust #3 (H)									
84. MCFina Co., Inc.* and MCFina Corp. Sales, Inc.		None	P1	W	Sold (part)	02/05/17	L		*to Halo Branded Solutions
85. Business Property Long Island City, NY	F	Rent	P1	W					

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86. Arrowhead Parcels 2005, LLC (Y)									repeat of colum 89
87. Missoula Hotel	B	Distribution	J	T	Sold (part)	02/25/16	K		El Dorado Hospitality
88.					Sold (part)	07/26/16	J		same
89.					Sold	12/16/16	J		same
90. Nebraska Dining, LLC		None	J	U					
91. Snapdragon Royalties, LLC		None	K	U					
92. Arrowhead Parcels 2005, LLC		None	J	U					
93. Arrowhead Mall 2005 LLC	A	Rent			Closed	03/29/17	L		
94. Apple Blossom Royalties, LLC	C	Royalty	K	U					
95. Dahlia Royalties, LLC	C	Royalty	K	U					
96. Sunflower Royalties, LLC	D	Dividend	K	U					
97. JP Morgan Cash Account (correction from Morgan Stanley)	D	Interest	N	T					
98. Trust #4 (H)									
99. MCFina Co. Inc. and MCFina Corporate Sales, Inc.		None	P2	U					
100. Trust #5 (H)									
101. MCFina Co., Inc. and MCFina Corporate Sales, Inc.		None	P1	U					
102. 401(k) (H)									

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
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103. Dodge & Cox Stock	F	Dividend	O	T					
104. Goldman Sachs Small Cap Value Inst'l	E	Dividend	L	T					
105. Keogh (H)									
106. Dodge & Cox Stock	F	Dividend	N	T					
107. Dodge & Cox Int'l Stock	C	Dividend	M	T					
108. Dodge & Cox Balanced	E	Dividend	N	T					
109. Proskauer Rose LLP Capital Account		None			Redeemed	01/01/17	O		See Line 142
110. ML Edge UTMA #1									
111. ML Edge UTMA cash (Y)									
112. APL (Y)									
113. AT&T (Y)									
114. CAT (Y)									
115. FORD (Y)									
116. PM (Y)									
117. RIG (Y)									
118. WFC (Y)									
119. ML Edge UTMA #2									

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120. ML Edge UTMA Cash	A	Interest	J	T					
121. APL	A	Dividend	J	T					
122. CL&E	A	Dividend	J	T					
123. FORD	A	Dividend	J	T					
124. D	A	Dividend	J	T	Buy		J		
125. PM	A	Dividend	J	T	Buy		J		
126. TSLA	A	Dividend	J	T	Buy		J		
127. Joint Account (H)									
128. SPDR S&P 500 ETF Trust	B	Dividend	L	T					
129. 401(K) (H)									
130. CREF Growth R!	A	Dividend	L	T					
131. TIAA Access Mid-Cap Value Fund T4	A	Dividend	J	T					
132. TIAA Access Int'n Equity Fund T4	A	Dividend	J	T					
133. TIAA-CREF Lifecycle Index 2030 Fund Institutional Class	D	Dividend	K	T					
134. CREF Infl-Linked Bond R1	A	Dividend	J	T	Buy	03/28/17	J		Rebalance
135. TIAA Real Estate	A	Dividend	J	T	Buy	03/28/17	J		Rebalance
136. TIAA Access Social Choice Equity Fund T4	A	Dividend	J	T	Buy	03/28/17	J		Rebalance

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	
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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Name of Person Reporting

Parker, Katharine H.

Date of Report

06/28/2018

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)
137. CREF Social Choice RI	A	Dividend	J	T	Buy	03/28/17	J		Rebalance
138. TIAA Traditional	A	Dividend	J	T	Buy	03/28/17	J		Rebalance
139. IRA (ROLLOVER) (H)	A	Distribution	J	T					
140. Gugg S&P 500	B	Dividend	K	T	Buy	01/23/17	K		see lines 7-10
141. Schb	B	Dividend	L	T	Buy	01/23/17	L		see lines 7-10
142. VBK	B	Dividend	K	T	Buy	01/23/17	K		see lines 7-10
143. TRBCX	B	Dividend	K	T	Buy	11/06/17	K		see lines 7-10
144. Trust #6 - Mass Mutual whole life		None	K	T	Buy	08/10/17	K		see lines 7-10
145. JPMC Cash	D	Interest	O	T					deposit from capital
146. 401(k) (H)									
147. American Funds 2030 Trgt, Date Retire R6	A	Dividend	L	T					
148.									
149.									
150.									
151.									
152.									
153.									

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	
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	

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)
154.									
155.									

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	
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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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Long- and/or short-term capital gains, if any, are also reflected in column B2; however, the drop down menu did not allow for this specificity.

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Name of Person Reporting

Parker, Katharine H.

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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/ Katharine H. Parker**

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