

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Failla, Katherine P.	2. Court or Organization Southern District of New York	3. Date of Report 08/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Thurgood Marshall U.S. Courthouse 40 Foley Square, Room 2103 New York, New York 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.)

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.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

Proskauer Rose LLP (partnership draw)

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Northwestern Mutual Whole Life Policy	E	Int./Div.	N	T					
2. Northwestern Mutual Whole Life Policy	D	Int./Div.	M	T					
3. Wells Fargo Cash Equivalent Account	A	Interest	J	T					
4. Merrill Lynch Bank Deposit Program	A	Interest	J	T					
5. Intel Corp Common Stock	A	Dividend	J	T					
6. Pfizer Inc. Common Stock	B	Dividend	K	T					
7. P&G Common Stock	B	Dividend	K	T					
8. Microsoft Corp. Common Stock	B	Dividend	K	T					
9. Hennessy Select Large Value Fund	A	Dividend	J	T					
10. T. Rowe Price Equity Income Fund	A	Dividend	K	T					
11. Invesco Asia Pacific Growth Fund	A	Dividend	J	T					
12. Gabelli Gamco Growth Fund	A	Dividend	J	T					
13. Vanguard Equity Income Fund	A	Dividend	K	T					
14. Vanguard European Stock Index Fund	A	Dividend	J	T					
15. Vanguard NY Long Term Tax-Exempt Investor Fund		None	K	T					
16. IRA #1		None	L	T					
17. - Invesco Van Kampen Comstock Fund									

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 \$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. - Invesco Van Kampen Small Cap Value Y Fund									
19. - Morgan Stanley U.S. Government Securities Fund									
20. - Morgan Stanley Inst. Limited Duration I Fund									
21. IRA #2		None	L	T					
22. - T. Rowe Price Retirement 2025 Fund									
23. - Buffalo Small Cap Fund									
24. - JP Morgan Emerging Markets Equity Inst. Fund									
25. - Schwab Retirement Advantage Money Fund									
26. IRA #3		None	K	T					
27. - T. Rowe Price Retirement 2025 Fund									
28. - T. Rowe Price Retirement 2030 Fund									
29. - Buffalo Small Cap Fund									
30. - JP Morgan Emerging Markets Equity Inst. Fund									
31. - Schwab Retirement Advantage Money Fund									
32. IRA #4		None	M	T					
33. - Vanguard Federal Money Market Fund									
34. - Vanguard Windsor II Fund									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - Vanguard 500 Index Fund (Admiral Shares)									
36. - Vanguard Morgan Growth Fund									
37. IRA #5		None	N	T					
38. - Vanguard Federal Money Market Fund									
39. - Vanguard Growth Equity Fund									
40. - Vanguard PRIMECAP Fund (Admiral Shares)									
41. - Vanguard Target Retirement 2015 Fund									
42. - Vanguard Wellington Fund									
43. - Vanguard Windsor II Fund									
44. - Vanguard 500 Index Fund									
45. IRA #6		None	M	T					
46. - PIMCO RCM Mid Cap Fund									
47. - Alliance Bernstein Global Thematic Growth Fund									
48. - Blackrock Global Dynamic Fund									
49. - Davis NY Venture Fund									
50. - Putnam Int'l Equity Fund									
51. - Putnam Investors Fund									

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52. - Putnam Voyager Fund									
53. Citibank Accounts	A	Interest	K	T					
54. Proskauer Rose Capital Account	D	Interest	N	T					

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

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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/ Katherine P. Failla**

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