

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Lane, Sean H.	2. Court or Organization U.S. Bankruptcy Court for the Southern District of NY	3. Date of Report 08/02/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Bankruptcy Court Alexander Customs House, One Bowling Green New York, NY 10004		
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.	Co-Trustee	Trust #1
2.	Trustee	Trust #2
3.	Trustee	Trust #3
4.		
5.		

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. 1996	Participation in Baker Hostetler 401k plan
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.)*

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. 2018	Group Hospitalization and Medical Services, Inc. (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. M&A Advisor	March 20-22, 2018	Palm Beach, FL	Summit	Transportation, meals, lodging
2. HVBBA	September 13-14, 2018	Hyde Park, NY	Consumer Bankruptcy Program	Transportation, meals, lodging
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.			
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.	Federal subsidized student loans through University of Notre Dame (Stafford and Perkins loans)	College loans for student #1	J
2.	Federal subsidized student loans through Bowdoin College (Stafford and Perkins loans)	College loans for student #2	J
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. Chase Bank (cash)	A	Interest	L	T					
2. U.S. Savings Bonds	A	Int./Div.	J	W					
3. Baker Hostetler 401k (H)									
4. Fidelity Growth Co. K. (FGCKX)	C	Dividend	L	T					
5. TRP Div. Growth I (PRDGX)	B	Dividend	K	T					
6. Fidelity 500 Index (FXAIX)	B	Dividend	K	T					
7. Carefirst BlueCross BlueShield 401k (H)									
8. Vanguard Institutional Index (VINIX)	A	Dividend	M	T					
9. Artisan Mid Cap Inst (APHMX)		None	L	T					
10. Fidelity Freedom 2040 K (FSNVX)		None	N	T					
11. Life Insurance (H)									
12. Northwestern Mutual Life Insurance Policy #1	A	Dividend	J	T					
13. Northwestern Mutual Life Insurance Policy #2	A	Dividend	J	T					
14. NY State 529 Plan #1 (H)									
15. Mid-Cap Stock Index Portfolio		None	J	T	Buy	03/19/18	J		
16. Growth Stock Index Portfolio		None	J	T	Buy	03/19/18	J		
17. Growth Portfolio		None	J	T	Buy	03/19/18	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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				
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18. NY State 529 Plan #2 (H)									
19. Mid Cap Stock Index Portfolio		None	J	T					
20. Growth Stock Index Portfolio		None	J	T					
21. Small Cap Stock Index Portfolio		None	K	T					
22. Conservative Age-Based Option: Conservative Income Portfolio		None	L	T					
23. NY State 529 Plan #3 (H)									
24. Conservative Age-Based Option: Interest Accumulation Portfolio		None			Sold (part)	07/23/18	K		
25.					Sold	12/08/18	J		
26. Mid Cap Stock Index Portfolio		None			Sold (part)	07/23/18	J		
27.					Sold	12/08/18	J		
28. Growth Stock Index Portfolio		None			Sold (part)	07/23/18	J		
29.					Sold	12/08/18	J		
30. Small Cap Stock Index Portfolio		None			Sold (part)	07/23/18	J		
31.					Sold	12/08/18	J		
32. Trust Acct #3 (H)									
33. American Centy Mun TR Intermediate Term Tax Free Cl Y (ATBYX)	A	Dividend			Sold	10/17/18	K		
34. Bernstein Sanford C Fd Inc (SNEMX)	A	Dividend			Sold	10/17/18	K		

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35. Blackrock Index Fds Inc (BTMKX)	A	Dividend	K	T	Sold (part)	10/17/18	J	A	
36. Causeway Cap Mgmt Tr. Int'l Value Fund Instl C1 (CIVIX)		None	J	T					
37. Dodge & Cox Funds International Stock Fund (DODFX)	A	Dividend	J	T	Sold (part)	10/17/18	J		
38. Fidelity Salem STR TR Fidelity 500 Index Fund (FXAIX)	A	Dividend	J	T					
39. John Hancock Income Fund CL R6 (JSNWX)	A	Dividend			Sold	10/17/18	J	B	
40. Harris Assoc Invt TR (OANIX)		None			Sold	10/17/18	J	B	
41. iShares Inc Japan ETF (EWJ)		None			Sold	10/17/18	J	A	
42. J P Morgan Exchange Traded FD TR BetaBuilders CDA (BBCA)	A	Dividend	J	T	Buy	10/19/18	J		
43. J P Morgan Exchange Traded FD TR BetaBuilders Japan (BBJP)	A	Dividend	J	T	Buy	10/19/18	J		
44. JPMorgan TR I Large Cap Value Fd CL R6 (JLVMX)	A	Dividend	J	T	Buy	10/19/18	J		
45. JPMorgan TR I Tax Aware Equity Fund (JPDEX)	A	Dividend	J	T	Buy	10/19/18	J		
46. JPMorgan TR I US Equity FD CL R6 (JUEMX)		None			Sold	10/17/18	J	B	
47. JPMorgan Trust II Short-Inter Mun BD FD Instl (OSTAX)		None			Sold	10/17/18	K		
48. Loomis Sayles FDS II Growth Fund Class N (LGRNX)	A	Dividend	J	T	Buy	10/19/18	J		
49. Massachusetts Invs TR (MITTX)		None			Sold	10/17/18	J	B	
50. Oppenheimer Intl Growth FD CL I (OIGIX)	A	Dividend	J	T	Buy	10/19/18	J		
51. Pimco Low Duration Fund (PTLAX)		None			Sold	10/17/18	J		

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52. Pimco Total Return Fund (PTRX)	A	Dividend			Sold	10/17/18	J		
53. Six Circles TR Intl Unconstrained Equity (CIUEX)	A	Dividend	J	T	Buy	10/19/18	J		
54. Six Circles TR US Unconstrained Equity (CUSUX)	A	Dividend	J	T	Buy	10/19/18	J		
55. T Rowe Price Summit Municipal Intermediate Fund	A	Dividend			Sold	10/17/18	K	A	
56. SPDR S&P 500 ETF Trust		None			Sold	10/17/18	K	D	
57. Vanguard Short Term Inflation Protected		None			Sold	10/17/18	J		
58. Vanguard Index TR Vanguard 500 Index Fd. Adm. (VFIAX)	A	Dividend	L	T	Buy	10/19/18	L		
59. Vanguard Index TR Vanguard Intl Equity Index Fd. FTSE Europe ETF (VGK)	A	Dividend	J	T					
60. Aberdeen Fds Ultr Shrt Mun Incm Fd Instl CI (ATOIX)	A	Dividend	K	T	Buy	10/19/18	K		
61. Blackrock Mun BD FD Inc National Muni (BNMLX)	A	Dividend	K	T	Buy	10/19/18	K		
62. Dodge & Cox Income Fund (DODIX)	A	Dividend	J	T	Buy (add'l)	10/19/18	J		
63.					Sold (part)	12/13/18	J		
64. Fidelity Intermediate Municipal Income (FLTMX)	A	Dividend	K	T	Buy	10/19/18	K		
65. Hancock John FDS II Strategic Inc R6 (JIPRX)	A	Dividend	J	T	Buy	10/19/18	J		
66.					Sold (part)	12/13/18	J		
67. iShares Tips Bond ETF (TIP)	A	Dividend	J	T	Buy	10/19/18	J		
68. iShares Trust iShares 1 3 Year Treasury (SHY)	A	Dividend	J	T	Buy	12/13/18	J		

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69. JPMorgan TR I Intermediate Tax Free B (JITZX)	A	Dividend	K	T	Buy	10/19/18	K		
70. JPMorgan TR II Core Plus BD FD Ultra CI (JCPUX)	A	Dividend	J	T	Buy	10/19/18	J		
71. Mainstay Funds, MacKay High Yield Corp Bd Fd R6 (MHSYS)	A	Dividend	J	T					
72. MFS Ser TR X Emerging Markets Debt Fd R6 (MEDHX)	A	Dividend	J	T	Sold (part)	10/17/18	J	A	
73. Pimco Income FD Instl CL (PIMIX)	A	Dividend	J	T	Buy	10/19/18	J		
74. Pimco Short Term Fund Instl CI (PTSHX)	A	Dividend	J	T	Sold (part)	10/17/18	J	A	
75. Six Circles TR Tax Aware Ultra Short (CUTAX)	A	Dividend	J	T	Buy	10/19/18	J		
76. Tax Exempt BD FD Amer CL F3 (AFTEX)	B	Dividend	K	T	Buy	10/19/18	J		
77. Wells Fargo FDS TR Short Term Municip (WSBIX)	A	Dividend	K	T	Buy	10/19/18	K		

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

Trust #1 and Trust #2 are estate planning vehicles and do not contain reportable assets.

Part VII, line 6: Corporate exchanges only; see 2017, line 5. There is not a reportable transaction associated with this change.

Part VII, line 12: Whole life policy (Adjustable Complife); no underlying investments.

Part VII, line 13: Non-term policy with cash value (65 Life); no underlying investments.

Part VII, lines 14-31: All investments are specific to the NY State 529 Plan.

Part VII, lines 33-41, 46, 47, 49, 51, 52, 55-57, 59, 62, 71, 72, and 74 became reportable in this cycle without corresponding reportable transactions.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Sean H. Lane**

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