

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) Parker, Katharine H.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 05/15/2019
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 01/01/2018 to 12/31/2018
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) (Y)	No longer trustee
4.	Trustee (uncompensated) (Y)	No longer trustee
5.	Trustee (uncompensated) (Y)	No longer trustee
6.	Chair, Disability Law Committee (uncompensated) (Y)	Term as Chair Ended
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.)*

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	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Duke/Bolch Judicial Institute	July 12-13, 2018	D.C.	Conference on discovery/ FRCP	Flight (\$200) + Hotel (\$239)
2. The Sedona Conference	May 3-4, 2018	Nashville, TN	Conference on discovery/ FRCP	Flight (443.85), cabs (\$61.68), Hotel (\$500 value)
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.		
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 (Y)					Closed	01/05/18			Tuition payment
3. NY 529 Program (H)									
4. NY College Savings Program, Conservative Income Portfolio (age based)	A	Int./Div.	L	T	Distributed (part)	06/25/18	J		Tuition payment
5.					Distributed (part)	07/11/18	J		Tuition payment
6.					Distributed (part)	07/16/18	J		Tuition payment
7.					Distributed (part)	12/24/18	K		Tuition payment
8. 401(k) (H)									
9. American Funds 2030 Target Date Retirement Fund Class R-6 (Y)									
10. Retirement Savings Plan (H) (Y)									
11. NON400ZX6 (Y)									
12. OJKB (Y)									
13. OJJC (Y)									
14. IRA (H)									
15. BNY Mellon Cash	A	Interest	J	T					
16. US Bank Cash	A	Interest	J	T					
17. CORE	B	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 = \$250,000.01 - \$500,000.00	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. AGG	B	Dividend	K	T					
19. ALFA	A	Dividend	K	T					
20. BJBHX	A	Dividend	J	T					
21. ECON	A	Dividend	K	T					
22. GOOG	A	Dividend	K	T					
23. GOOGL	A	Dividend	J	T	Buy (add'l)	12/27/18	J		
24. NCR	A	Dividend	L	T					
25. VT	A	Dividend	M	T	Buy (add'l)	02/09/18	K		
26. MSFT	B	Dividend	L	T					
27. AMZN	C	Dividend	L	T	Buy (add'l)	05/15/18	K		
28. Stock Account (H)									
29. Fidelity FCASH account	A	Interest	K	T					
30. AAGPX	B	Dividend	K	T					
31. AAPL (Y)									
32. AAPL	A	Dividend	L	T	Buy (add'l)	05/15/18	K		
33.					Buy (add'l)	02/09/18	K		
34. ABBV	A	Dividend	J	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. ABT	A	Dividend	K	T					
36. ACMVX	C	Dividend	K	T					
37. BJBHX	A	Dividend	J	T					
38. CAMOX	A	Dividend	J	T					
39. CHTR	A	Dividend	J	T					
40. CSCO	A	Dividend	J	T					
41. DAL	A	Dividend	J	T					
42. DIS	B	Dividend	K	T					
43. EFA	A	Dividend	K	T					
44. ETSY	A	Dividend	J	T					
45. EXWAX (Y)	A	Dividend	J	T	Merged (with line 68)	09/24/18	J		merger into MNOSX
46. FB (Y)									
47. FDRXX	A	Dividend	J	T					
48. FLCSX	C	Dividend	J	T					
49. FTBFX	A	Dividend	J	T					
50. FTHRXX	A	Dividend	J	T					
51. IBM	B	Dividend	J	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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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52. IWM	A	Dividend	K	T					
53. JAVLX (Y)	D	Dividend	L	T	Merged (with line 67)	01/01/18	L		Merged with J ACTX 5/1/17*
54. KO	A	Dividend	J	T					
55. NNTWX	C	Dividend	K	T					
56. OAKIX	B	Dividend	K	T					
57. PFE	D	Dividend	M	T					
58. PTSGX	D	Dividend	K	T					
59. TIME (Y)	A	Dividend	J	T	Distributed	02/02/18	J		merger payout
60. TWX (Y)	A	Dividend	J	T	Merged (with line 69)	06/18/18	J		purchase by ATT
61. TWX (Y)					Merged (with line 70)	06/15/18	J		purchase by ATT
62. VWO	A	Dividend	J	T					
63. Nokia	C	Dividend	J						Mistake from last year
64. AbbVie Inc. (Y)	A	Dividend	J	T	Donated	11/28/18	J		To Charitable Giving Act
65. HRL	B	Dividend	J	T					
66. HAIDX	C	Dividend	L	T					
67. JACTX	D	Dividend	L	T	Buy	01/01/18	J		See line 53
68. MNOSX	A	Dividend	J	T	Buy	09/24/18	J		See line 45

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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69. T1	B	Dividend	J	T	Buy	06/15/18	J		ATT purchase of Time Warner
70. T					Buy	06/18/18	J		ATT purchase of Time Warner
71. NKE	A	Dividend	J	T	Buy	09/06/18	K		
72. UTMA Account (H) (Y)									
73. FCASH (Y)									
74. AAPL (Y)									
75. ARWR (Y)									
76. CCXI (Y)									
77. GOOG (Y)									
78. VZ (Y)									
79. Ziopharm (Y)									
80. INTC (Y)									
81. LMT (Y)									
82. Trust #1 - Mass Mutual whole life	B	Dividend	M	T					
83. Trust #2 - Athena whole life	E	Dividend	N	T					
84. Trust #3 (H) (Y0									
85. MCFina Co., Inc.* and MCFina Corp. Sales, Inc. (Y)									No longer trustee

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86. Business Property Long Island City, NY (Y)									
87. Arrowhead Parcels 2005, LLC (Y)									
88. Nebraska Dining, LLC (Y)									
89. Snapdragon Royalties, LLC (Y)									
90. Arrowhead Parcels 2005, LLC (Y)									
91. Arrowhead Mall 2005 LLC (Y)									
92. Apple Blossom Royalties, LLC (Y)									
93. Dahlia Royalties, LLC (Y)									
94. Sunflower Royalties, LLC (Y)									
95. JP Morgan Cash Account (correction from Morgan Stanley) (Y)									
96. Trust #4 (H) (Y)									No longer trustee
97. MCFina Co. Inc. and MCFina Corporate Sales, Inc. (Y)									
98. Trust #5 (H) (Y)									No longer trustee
99. MCFina Co., Inc. and MCFina Corporate Sales, Inc. (Y)									
100. 401(k) (H)									
101. Dodge & Cox Stock	F	Dividend	O	T					
102. Goldman Sachs Small Cap Value Inst'l	E	Dividend	L	T					

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103. Keogh (H)									
104. Dodge & Cox Stock	F	Dividend	N	T					
105. Dodge & Cox Int'l Stock	D	Dividend	M	T					
106. Dodge & Cox Balanced	D	Dividend	N	T					
107. Proskauer Rose LLP Capital Account (Y)									
108. ML Edge UTMA #2									
109. ML Edge UTMA Cash	A	Interest	J	T					
110. AAPL (same stock; correction to symbol)	A	Dividend	J	T					
111. CLNE (same stock; correction to symbol)	A	Dividend	J	T					
112. F (same stock; correction to symbol)	A	Dividend	J	T					
113. D	A	Dividend	J	T					
114. PM	A	Dividend	J	T					
115. TSLA	A	Dividend	J	T	Buy	01/30/18	J		
116. Joint Account (H)									
117. SPDR S&P 500 ETF Trust	B	Dividend	L	T					
118. 401(K) (H)									
119. CREF Growth R!	B	Dividend	L	T					

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120. TIAA Access Mid-Cap Value Fund T4	A	Dividend	J	T					
121. TIAA Access Int'n Equity Fund T4	A	Dividend	J	T					
122. TIAA-CREF Lifecycle Index 2030 Fund Institutional Class	D	Dividend	L	T					
123. CREF Inf-Linked Bond R1	A	Dividend	J	T					
124. TIAA Real Estate	A	Dividend	J	T					
125. TIAA Access Social Choice Equity Fund T4	A	Dividend	J	T					
126. CREF Social Choice R1	A	Dividend	J	T					
127. TIAA Traditional	A	Dividend	J	T					
128. IRA (ROLLOVER) (H)	B	Distribution	L	T					
129. Gugg S&P 500	B	Dividend	K	T					
130. Schb	B	Dividend	L	T					
131. VBK	B	Dividend	K	T					
132. TRBCX	B	Dividend	K	T					
133. Trust #6 - Mass Mutual whole life	B	Dividend	L	T					
134. JPMC Cash	D	Interest	L	T					
135. 401(k) (H)									
136. American Funds 2030 Trgt. Date Retire R6	A	Dividend	L	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 = \$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)
137.									
138.									
139.									
140.									
141.									
142.									
143.									
144.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Parker, Katharine H.

Date of Report

05/15/2019

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.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Parker, Katharine H.

Date of Report

05/15/2019

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
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