

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) Wang, Ona T.	2. Court or Organization U.S. District Court - Southern District of New York	3. Date of Report 10/22/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 07/31/2018
7. Chambers or Office Address United States Courthouse 500 Pearl Street 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.)

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. 2017	Baker Hostetler Pension 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Self-employed (attorney)	\$55,000.00
2. 2017	Self-employed (attorney)	\$330,000.00
3. 2016	Self-employed (attorney)	\$247,500.00
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. 2018	Hospital for Special Surgery (salary)
2. 2017	Hospital for Special Surgery (salary)
3. 2017	Self-employed (medical/surgical expert/consultant)
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. Exempt				
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.	Exempt		
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.	Citimortgage	Mortgage on rental property	M
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. Citibank (cash)	A	Interest	N	T	Exempt				
2. Vanguard Money Market (cash account)	A	Interest	J	T					
3. Pacific Life Ins Universal Life Policy #1	B	Int./Div.							
4. Pacific Life Ins Universal Life Policy #2	B	Int./Div.							
5. Minnesota Life Insurance Co. Variable Universal Life Insurance (H)									
6. MSTAR BALANCED ETF1		None	K	T					
7. FID VIP CONTRAFUND (R)		None	K	T					
8. MSTAR GROWTH ETF1		None	K	T					
9. IVY VIP SMALL CAP CORE		None	K	T					
10. BROKERAGE ACCOUNT #1 (H)									
11. E-Trade Bank (Cash Sweep)	A	Int./Div.	J	T					
12. Amazon (AMZN)		None	J	T					
13. Apple (AAPL)	B	Dividend	L	T					
14. Caterpillar (CAT)	A	Dividend	J	T					
15. Cboe Global Markets (CBOE)		None	J	T					
16. Chevron (CVX)	A	Dividend	J	T					
17. Cisco Systems (CSCO)	A	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. Intel (INTC)	A	Dividend	J	T					
19. Walt Disney Co. (DIS)		None	J	T					
20. 401K #1 (H)									
21. Vanguard Inst Index Fund Instl (VINIX)		None							
22. 401K#2 (H)									
23. Baker and Hostetler, LLC Retirement Benefits Account (cash)		None							
24. Baker and Hostetler, LLC Basic Pension Account (cash)		None	L	T					
25. 403B #1 (H)									
26. Vanguard Inst Tg Rtm 45 Inst (VITLX)	D	Dividend	N	T					
27. 457B #1 (H)									
28. TIAA Traditional (TIAA)		None	J	T					
29. CREF Stock R3 (QCSTPX)		None	K	T					
30. TIAA Real Estate		None	J	T					
31. CREF Bond Market R3 (QCBMIX)		None	J	T					
32. CREF Money Market R3		None	J	T					
33. Vanguard Inst Tg Rtm 45 Inst (VITLX)	C	Dividend	M	T					
34. NYU SCHOOL OF MEDICINE TAX DEF ANN PLAN (H)									

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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. TIAA Traditional (TIAA)		None	J	T					
36. CREF Stock R3 (QCSTPX)		None	K	T					
37. TIAA Real Estate (TIREX)		None	J	T					
38. CREF Bond Market R3 (QCBMIX)		None	J	T					
39. 457B #2 (H)									
40. HSS 457B (deferred compensation, no control)		None	K	T					
41. 403B #2 (H)									
42. Vanguard Inst Tgt Ret 2030 (VTTWX)		None	M	T					
43. 403B #3 (H)									
44. Vanguard Inst Tgt Ret 2030 (VTTWX)		None	K	T					
45. IRA #1 (H)									
46. Vanguard European Stock Index Inv (VEURX)	A	Dividend	J	T					
47. Vanguard US Growth Fund Inv (VWUSX)	A	Dividend	J	T					
48. IRA#2 (H)									
49. Vanguard 500 Index Fund Inv (VFINX)	A	Dividend	J	T					
50. 529 ACCT #1 (H)									
51. NY's 529 Aggressive Age-Based Option: Aggressive Portfolio		None	K	T					

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52. NYs 529 Conservative Growth Portfolio		None	J	T					
53. 529 ACCT #2 (H)									
54. NYs 529 Aggressive Age-Based Option: Aggressive Growth		None	K	T					
55. OTHER HOLDINGS (H)									
56. Disney Timeshare, Lake Buena Vista, FL	A	Rent	J	W					
57. Investment Property #1, Stratton, VT	B	Rent	N	W					
58. Investment Property #2, Lake Las Vegas, NV		None	O	W					
59. HS2, LLC		None	J	T					
60. HSS ASC of Manhattan, LLC (Y)									

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

Part II, line 1: This agreement involves only the right to future retirement payments.

Part VII, line 40: No underlying investments; value is exclusively deferred compensation held by the former employer.

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/ Ona T. Wang

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
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