

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) Aaron, Stewart D.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 08/02/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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. Courthouse 500 Pearl Street 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	New York County Lawyers Association	Director
2.		
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. 2017	Payments under Articles of Partnership of Arnold & Porter Kaye Scholer LLP for a five-year term starting in 2019
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

Self-Employed (artist)

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.

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.		
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. City National Bank (cash)	A	Interest	J	T					
2. Ally Bank (cash)	C	Interest	N	T					
3. American Express Bank (cash)	C	Interest	M	T					
4. Purepoint Financial (cash)	D	Interest	N	T					
5. Synchrony Bank (cash)	B	Interest	M	T					
6. TD Bank (cash)	A	Interest	L	T					
7. Liberty Life Assurance Co. of Boston Fixed Annuity		None	L	T					
8. Account #1 (H)									
9. Vanguard Total Stock Market ETF (VTI)	A	Dividend	J	T					
10. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	J	T					
11. IRA #2 (H)									
12. Schwab Government Money Fund (SWGXX) (cash)	A	Int./Div.	J	T					
13. Schwab Value Advantage (SWVXX)	B	Dividend	M	T	Buy	03/02/18	M		
14.					Buy (add'l)	04/19/18	M		
15.					Sold (part)	04/27/18	M		
16. US Treasury Bond Bill (52 week)		None	M	T	Buy (add'l)	04/30/18	K		
17.					Buy (add'l)	09/19/18	L		

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.					Buy (add'l)	09/24/18	L		
19. US Treasury NT (2 year)	A	Interest	K	T	Buy (add'l)	04/30/18	K		
20. US Treasury NT (5 year)	A	Interest	K	T	Buy (add'l)	04/30/18	K		
21. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	C	Dividend	M	T					
22. Vanguard Total Stock Market ETF (VTI)	D	Dividend	M	T	Sold (part)	03/02/18	L	E	
23.					Buy (add'l)	04/27/18	K		
24.					Sold (part)	06/27/18	K	A	
25.					Sold (part)	09/17/18	M	D	
26. Cohen & Steers Preferred & Income (CPXIX)	D	Dividend	M	T					
27. DoubleLine Total Return Bond (DBLTX)	D	Dividend	M	T	Buy (add'l)	09/17/18	K		
28. Metropolitan West Total Return Bond (MWTIX)	C	Dividend	M	T					
29. Vanguard Inter-Term Bond Index (VBILX)	E	Dividend	N	T	Sold (part)	06/27/18	N		
30. Vanguard Short Term Bond (VBIRX)	C	Dividend	N	T	Buy	06/27/18	N		
31. American Funds Europacific Growth F2 (AEPFX)	D	Dividend	M	T	Buy	03/02/18	M		
32.					Buy (add'l)	06/27/18	L		
33.					Sold (part)	09/17/18	J		
34. Eagle MLP Strategy Fd I (EGLIX)	D	Dividend	M	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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35. Lazard Emrg Mkts Eqty (LZEMX)	B	Dividend	L	T	Buy	08/20/18	L		
36.					Sold (part)	09/17/18	K		
37. Lazard Intl Eqty (LZIEY)	D	Dividend	M	T	Buy	05/16/18	M		
38.					Sold (part)	09/17/18	J		
39. MFS International New Discovery I (MWNIX)	C	Dividend	L	T	Buy (add'l)	03/02/18	J		
40. Eaton Vance Emerging Markets (EHEMX)	A	Dividend			Buy (add'l)	03/02/18	K		
41.					Sold	08/20/18	L		
42. Harbor International (HAINX)		None			Sold (part)	03/02/18	L	A	
43.					Sold	05/16/18	M	C	
44. Account #3 (H)									
45. Vanguard Interm-Term Tx-Ex Adm (VWIUX)	A	Dividend	J	T					
46. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	K	T					
47. Account #4 (H)									
48. American Express Centurion Bank (cash)	B	Interest			Closed	12/03/18	M		
49. Wells Fargo Bank (cash)		None	M	T	Open	12/14/18	M		
50. Account #5 (H)									
51. Optum Bank (cash)		None	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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52. Vanguard Wellington Fund Investor Shares (VWELX)	B	Dividend	K	T					
53. Account #6 (H)									
54. New York's 529 College Savings Program (cash)	A	Interest	J	T					
55. Account #7 (H)									
56. New York's 529 College Savings Program (cash)	A	Interest	K	T					

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

Part VII, lines 9, 29-36, 38, 39, 43, and 52-77 of the prior report are not reportable in this cycle.

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/ Stewart D. Aaron**

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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Washington, D.C. 20544