

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) Nathan, Alison J.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 08/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	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 40 Foley Square 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. Advisor on the Restatement of the Law, Copyright Project	American Law Institute
2. Professor (part time)	NYU School of Law
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.	
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	NYU School of Law (teaching income)	\$20,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	NYU School of Law 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Navient	Student Loans	K
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. Emigrant Direct (cash)	A	Interest	J	T					
2. Bank of America (cash)		None	K	T					
3. Chase (cash)	A	Interest	L	T					
4. IRA #1 (H)									
5. Merrill Lynch Bank Deposit Program (cash)	A	Dividend			Closed	02/13/18	J		
6. Vanguard Total Bond Market Index Adm Cl (VBTLX)	A	Dividend	K	T	Buy	04/30/18	K		
7.					Buy (add'l)	05/03/18	J		
8. Vanguard Total Intl Bond Index Adm Cl (VTABX)	A	Dividend	K	T	Buy	04/26/18	J		
9.					Buy (add'l)	04/30/18	J		
10. Vanguard Total Intl Stock Index Adm Cl (VTIAX)	B	Dividend	L	T	Buy	04/30/18	L		
11.					Buy (add'l)	05/03/18	J		
12.					Buy (add'l)	05/04/18	J		
13. Vanguard Total Stock Mkt Index Adm Cl (VTSAX)	A	Dividend	K	T	Buy	04/26/18	J		
14.					Buy (add'l)	05/03/18	J		
15.					Buy (add'l)	05/04/18	J		
16. AIG Focused Div Strat (FDSWX)	A	Dividend			Sold	05/01/18	J	A	
17. AQR Long Short Equity Fd I (QLEIX)		None			Sold	04/26/18	J		

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	

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☐ 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)

18. Baron Real Estate Fund Class Instl (BREIX)		None			Sold	04/30/18	J	A	
19. Boston Partners Global Long Short Fund Instl C1 (BGLSX)		None			Sold	04/26/18	J		
20. Boston Partners Long / Short Equity Fd Instl (BPLSX)		None			Sold	04/26/18	J		
21. Congress Midcap Growth Fund (IMIDX)		None			Sold	04/26/18	J		
22. Delaware Emerging Mkts Fd I (DEMIX)		None			Sold	04/26/18	J		
23. Fidelity Advisor Biotechnology Fund (FBTIX)		None			Sold	04/26/18	J		
24. Franklin Intl Small Cap (FKSCX)		None			Sold	04/26/18	J		
25. First Trust Val Line Div Index (FVD)	A	Dividend			Sold	04/26/18	J		
26. Guggenheim Macro Opps Fund I (GIOIX)	A	Dividend			Sold	04/26/18	J		
27. John Hancock Intl Growth Fund (GOGIX)		None			Sold	04/26/18	J		
28. Kayne Anderson MLP (KYN)	A	Dividend			Sold	04/26/18	J		
29. Lazard Global Listed Infra Instl C1 (GLIFX)	A	Dividend			Sold	04/26/18	J		
30. Loomis Sayles Sr Fl (LSFYX)	A	Dividend			Sold	04/26/18	J		
31. Lord Abbett Short Duration Income Fd (LDLFX)	A	Dividend			Sold	04/26/18	J		
32. MFS Emerging Markets Debt Fd (MEDIX)	A	Dividend			Sold	04/26/18	J		
33. Nuveen Short Duration Credit Opportunities Fund (JSD)	A	Dividend			Sold	04/26/18	J		
34. Pimco Income Fund (PONPX)	A	Dividend			Sold	04/26/18	J		

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	
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35. Pimco Investment Grade Corp Bd P (PBDPX)	A	Dividend			Sold	04/26/18	J		
36. Powershares Aerospace and Defense (PPA)	A	Dividend			Sold	04/26/18	J		
37. Primecap Odyssey Growth Fund (POGRX)		None			Sold	04/26/18	J		
38. SEI Global Managed Vol Fd Y (SGLYX)		None			Sold	04/30/18	J		
39. T Rowe Price Capital Appreciation Fd Retail (PRWCX)		None			Sold	04/26/18	J		
40. T Rowe Price Global Tech Fd (PRGTX)		None			Sold	04/26/18	J		
41. T Rowe Price Health Sciences Ret (PRHSX)		None			Sold	04/26/18	J		
42. The Oakmark Intl Fund (OAKIX)		None			Sold	04/26/18	J		
43. Thornburg Global Opportunities Fund CL I (THOIX)		None			Sold	04/26/18	J		
44. Victoryshares US 500 Vol Wtd (CFA)	A	Dividend			Sold	04/26/18	J		
45. Victory Sycamore Established Value Fund (VEVYX)	A	Dividend			Sold	04/26/18	J		
46. Brokerage Account #2 (H)									
47. Merrill Lynch Bank Deposit Program (cash)	A	Interest			Closed	03/01/18	J		
48. Vanguard Federal Money Market Fund (cash)	A	Dividend	K	T	Open	03/02/18	J		
49. Vanguard Total Stock Market Index Fund Adm (VTSAX)	A	Dividend	K	T	Buy	04/30/18	K		
50. AIG Focused Div Strat (FDSWX)		None			Sold	02/23/18	J	A	
51. AQR Long Short Equity Fd I (QLEIX)		None			Sold	04/26/18	J		

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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52. Baron Real Estate Fund (BREFX)		None			Sold	02/23/18	J	A	
53. Blackrock Strategic Muni Opportunities Fund Instl (MAMTX)	A	Dividend			Sold	04/26/18	J		
54. Boston Partners Global Long Short Fund INSTL CL (BGLSX)		None			Sold	04/26/18	J		
55. Boston Partners Long / Short Equity Fd Instl (BPLSX)		None			Sold	04/26/18	J		
56. Congress Midcap Growth Fund INSTL Class (IMIDX)		None	J	T					
57. Delaware National High Yield Muni Bond (DVHIX)	A	Dividend			Sold	04/26/18	J		
58. Delaware Emerging Mkts Fd Instl (DEMIX)	A	Distribution			Sold	04/26/18	J		
59. Fidelity Advisor Biotech Fd I (FBTIX)		None			Sold	04/26/18	J		
60. Franklin Intl Small Cap (FKSCX)		None			Sold	04/26/18	J		
61. First Trust Val Line Div Index (FVD)	A	Dividend			Sold	04/26/18	J		
62. Invesco (formerly Guggenheim) S&P 500 Equal Weight Tech ETF (RYT)	A	Dividend	J	T					
63. Ishares S&P Mid-Cap 400 (IJH)	A	Distribution	J	T					
64. Ishares US Healthcare (IYH)	A	Distribution			Sold	04/26/18	J		
65. John Hancock Intl Growth Fund (GOGIX)		None			Sold	04/26/18	J		
66. Lazard Gbl Lstd Infrastructure Port I (GLIFX)	A	Dividend			Sold	04/26/18	J		
67. Nuveen Short Duration Hi Yld Muni Bd Fd (NVHIX)	A	Dividend			Sold	04/26/18	J		
68. Primecap Odyssey Growth Fund CL (POGRX)		None	J	T					

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69. SEI Global Mgd Volatility Fund Y (SGLYX)		None			Sold	02/23/18	J		
70. T Rowe Price Capital Appreciation Fd Retail (PRWCX)		None			Sold	04/26/18	J		
71. The Oakmark Select Fund (OAKLX)		None	J	T					
72. Victoryshares US 500 Vol WTD ETF (CFA) (X)	A	Dividend	J	T					
73. Wells Fargo Strategic Muni Bd Fd I (STRIX)	A	Dividend			Sold	04/26/18	J		
74. Wells Fargo Muni Bond Fd I (WMBIX)	A	Dividend			Sold	04/26/18	J		
75. Brokerage Account #3 (H)									
76. Merrill Lynch Bank Deposit Program	A	Interest			Closed	05/31/18	J		
77. Vanguard 500 Index Adm Cl (VFIAX)	A	Dividend	J	T	Buy	04/30/18	J		
78. Vanguard Growth Index Adm Cl (VIGAX)	A	Dividend	J	T	Buy	04/30/18	J		
79. Vanguard Total Stock Market Index Adm Cl (VTSAX)	A	Dividend	K	T	Buy	04/30/18	K		
80. AIG Focused Div Strat (FDSWX)	A	Dividend			Sold	04/20/18	J	A	
81. AQR Long Short Equity Fund I (QLEIX)		None			Sold	04/26/18	J		
82. Baron Real Estate Fund (BREIX)		None			Sold	04/26/18	J		
83. Blackrock Strategic Muni Opportunities Fund Instl (MAMTX)	A	Dividend			Sold	04/26/18	J		
84. Boston Partners Global Long Short Fund (BGLSX)		None			Sold	04/26/18	J		
85. Boston Partners Long / Short Equity Fd Instl (BPLSX)		None			Sold	04/26/18	J		

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86. Fidelity Advisor Biotechnology Fd (FBTIX)		None			Sold	04/26/18	J		
87. Guggenheim Macro Opps Fund Instl (GIOIX)	A	Dividend			Sold	04/26/18	J		
88. Hartford Mut Fds Inc Bal Inc Fd I (HBLAX)	A	Dividend			Sold	04/26/18	J		
89. Ishares US Consumer Goods EFT (IYK)	A	Dividend			Sold	04/26/18	J		
90. Kayne Anderson MLP (KYN)	A	Dividend			Sold	04/26/18	J		
91. Loomis Sayles Sr Fl (LSFYX) (X)	A	Dividend			Sold	04/26/18	J		
92. Lord Abbett Short Duration Income Fd (LDLFX)	A	Dividend			Sold	04/26/18	J		
93. MFS Diversified Income Fund (DIFIX)	A	Dividend			Sold	04/26/18	J		
94. Nuveen Real Asset Income Fund (NRIIX)	A	Dividend			Sold	04/26/18	J		
95. Nuveen Short Duration Credit Opps Fd (JSD)	A	Dividend			Sold	04/26/18	J		
96. Pimco All Asset Fund (PASAX)	A	Dividend			Sold	04/26/18	J		
97. Pimco Foreign Bond Fd (PFBPX)	A	Dividend			Sold	04/26/18	J		
98. Pimco Income Fund (PONPX)	A	Dividend			Sold	04/26/18	J		
99. Pimco Investment Grade Corp Bond Fd P (PBDAX)	A	Dividend			Sold	04/26/18	J		
100. Primecap Odyssey Growth Fund (POGRX)	A	Dividend	J	T					
101. SEI Global Mgd Vol Fd Y (SVOAX)		None			Sold	02/23/18	J		
102. T. Rowe Price Capital Appreciation Fd Retail (PRWCX)		None			Sold	04/26/18	J		

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☐ 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)
103. T Rowe Price Health Sciences Fd (PRHSX)		None			Sold	04/26/18	J		
104. TCW Total Return Bond Fd (TGLMX)	A	Dividend			Sold	04/26/18	J		
105. Western Asset Claymore Inflation Linked Opp (WIW)	A	Dividend			Sold	04/26/18	J		
106. Brokerage Account #4 (H)									
107. TD Ameritrade Cash Account (cash)	A	Interest	J	T					
108. Apple Inc Stock (AAPL)	A	Dividend	K	T					
109. Retirement Plan #1 (H)									
110. Vanguard FTSE Social Index (VFTSX)	A	Dividend	M	T					
111. Vanguard Target Retirement 2020 (VTWXX)	D	Dividend	M	T					
112. Vanguard Target Retirement 2040 (VFORX)	D	Dividend	N	T					
113. 529 Account #1 (H)									
114. JPMorgan 529 Age-Based 9-10 Portfolio C (formerly Moderate Growth)		None	K	T					
115. 529 Account #2 (H)									
116. NextGen Franklin Templeton Age 0-8 Years Portfolio C		None			Sold	05/07/18	K		
117. MFS 6-10 Yrs C		None			Sold	05/07/18	K		
118. Vanguard Aggressive Age-Based Option		None	K	T	Buy	06/04/18	K		
119. 529 Account #3 (H)									

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 = \$250,000,001 - \$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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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)
120. JPMorgan 529 Age-Based 9-10 Portfolio C (formerly Moderate Growth)		None	K	T					
121. 529 Account #4 (H)									
122. NextGen Blackrock 8-10 Yrs C		None			Sold	05/07/18	K		
123. NextGen Franklin Templeton Age 0-8 Years Portfolio C		None			Sold	05/07/18	K		
124. Vanguard Aggressive Age-Based		None	K	T	Buy	06/04/18	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
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	

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

Paart VII, line 79: The Closed date reflects the end of the month when the account zeroed out and is speculative rather than exact.

Part VII, lines 114 and 120: These holdings were consolidated in the 2017 report at line 142.

Part VII, lines 116 and 123: These holdings were consolidated in the 2017 report at line 146.

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.

Part VII, lines 32, 76, and 83 of the 2017 report are not reportable in this cycle; there are no corresponding reportable transactions.

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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/ **Alison J. Nathan**

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)

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