

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/12/2020
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 01/01/2019 to 12/31/2019
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 (no reportable assets)
2. Trustee	Trust #2 (no reportable assets)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	New York Institute of Credit (NYIC)	05/02/19-05/03/19	Uncasville, CT	Conference	Transportation, meals, lodging
2.	Hudson Valley Bankruptcy Bar Association (HVBBA)	09/05/19-09/06/19	New York, NY	16th Annual New Deal for Consumer Bankruptcy	Transportation, meals, lodging
3.	American Bankruptcy Institute (ABI)	09/19/19-09/20/19	Washington, DC	Views from the Bench	Transportation, meals, lodging
4.	Jay L. Westbrook Bankruptcy Conference	11/13/19-11/15/19	Austin, TX	Panelist	Transportation, meals, lodging
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.	Federal subsidized student loans (Stafford and Perkins loans)	College loans for students #1 and #3	K
2.	Federal subsidized student loans (Stafford and Perkins loans)	College loans for student #2	None
3.			
4.			
5.			

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Chase Bank (cash)	A	Interest	K	T					
3. U.S. Savings Bonds	A	Int./Div.	J	W					
4. Northwestern Mutual Life Insurance Policy #1	A	Dividend	J	T					
5. Northwestern Mutual Life Insurance Policy #2	A	Dividend	J	T					
6. 401(k) #1 (H)									
7. Fidelity Growth Co. K. (FGCKX)	C	Dividend			Sold	06/13/19	M	A	
8. TRP Div. Growth I (PRDGX)	B	Dividend	L	T					
9. Fid Growth Co K6 (FGKFX)		None	M	T	Buy	06/13/19	M		
10. Fidelity 500 Index (FXAIX)	B	Dividend	L	T					
11. 401(k) #2 (H)									
12. Artisan Mid Cap Inst (APHMX)		None			Sold	06/30/19	L		
13. Vanguard Institutional Index (VINIX)	B	Dividend			Sold	06/30/19	N		
14. Vanguard Instl Index Plus	D	Dividend	N	T	Buy	04/01/19	N		
15. TRP Retirement 2030		None	M	T	Buy	01/01/19	L		
16. TRP Retirement 2040 (TRRDX) (X)		None	O	T					
17. Fidelity Freedom 2040 K (FSNVX) (Y)									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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18. NY State 529 Plan #1 (H)									
19. Mid-Cap Stock Index Portfolio		None	J	T	Buy (add'l)	03/25/19	J		
20. Growth Stock Index Portfolio		None	J	T	Buy (add'l)	03/25/19	J		
21. Growth Portfolio		None	J	T	Buy (add'l)	03/25/19	J		
22. NY State 529 Plan #2 (H)									
23. Conservative Age-Based Option: Conservative Income Portfolio		None			Sold	09/06/19	M		
24. Conservative Age-Based Option: Interest Accumulation Portfolio		None	L	T	Buy	09/06/19	M		
25.					Sold (part)	12/30/19	K		
26. Mid Cap Stock Index Portfolio (Y)									
27. Growth Stock Index Portfolio (Y)									
28. Small Cap Stock Index Portfolio (Y)									
29. Trust Account (H)									
30. Blackrock Index Fds Inc (BTMKX)	A	Dividend	J	T	Sold (part)	02/05/19	J	A	
31. Causeway Cap Mgmt Tr. Int'l Value Fund Instl CI (CIVIX)		None			Sold (part)	02/19/19	J		
32.					Sold	04/01/19	J		
33. Dodge & Cox Funds International Stock Fund (DODFX)	A	Dividend			Sold	04/01/19	J		
34. Fidelity Salem STR TR Fidelity 500 Index Fund (FXAIX)	A	Dividend	J	T	Buy (add'l)	01/04/19	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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35.					Sold (part)	02/05/19	J	A	
36.					Sold (part)	09/24/19	J	A	
37. Fidelity Salem Str Tr Intl Index Fund (FSPSX)	A	Dividend			Buy	02/19/19	J		
38.					Sold (part)	03/04/19	J	A	
39.					Buy (add'l)	04/01/19	J		
40.					Sold (part)	08/26/19	J		
41.					Sold	11/21/19	J	A	
42. Hancock John FDS II Strategic Inc R6 (JIPRX)	A	Dividend			Sold	02/05/19	J	A	
43. IShares Trust IShares 1-3 Year Treasury (SHY)	A	Dividend			Sold (part)	01/04/19	J		
44.					Buy (add'l)	02/19/19	J		
45.					Buy (add'l)	03/04/19	J		
46.					Sold (part)	01/04/19	J	A	
47.					Sold	06/06/19	J	A	
48. IShares Trust IShares Short Treasury Bond (464288679)	A	Dividend			Buy	06/06/19	J		
49.					Sold	09/24/19	J	A	
50. J P Morgan Exchange Traded FD TR BetaBuilders CDA (BBCA)	A	Dividend	J	T					
51. J P Morgan Exchange Traded FD TR BetaBuilders Japan (BBJP)	A	Dividend	J	T					

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52. JPMorgan TR 1 Large Cap Value Fd CL R6 (JLVMX)	A	Dividend	J	T	Sold (part)	04/01/19	J		
53. JPMorgan TR 1 Tax Aware Equity Fund (JPDEX)	A	Dividend	J	T					
54. Loomis Sayles FDS II Growth FD CL N (543488845)		None			Sold	04/01/19	J		
55. Oppenheimer Intl Growth FD CL I (OIGIX)		None			Sold (part)	02/19/19	J	A	
56.					Sold	04/01/19	J	A	
57. Six Circles TR Intl Unconstrained Equity (CIUEX)	A	Dividend	J	T	Buy (add'l)	04/01/19	J		
58. Six Circles TR US Unconstrained Equity (CUSUX)	A	Dividend	K	T	Buy (add'l)	02/05/19	J		
59.					Buy (add'l)	03/03/19	J		
60.					Buy (add'l)	04/01/19	J		
61.					Buy (add'l)	08/26/19	J		
62.					Sold (part)	11/21/19	J		
63. Vanguard Index TR Vanguard 500 Index Fd. Adm. (VFIAX)	B	Dividend	L	T					
64. Vanguard Index TR Vanguard Intl Equity Index Fd. FTSE Europe ETF (VGK)	A	Dividend	J	T					
65. Aberdeen Fds Ultr Shrt Mun Incm Fd Instl Cl (ATOIX)	A	Dividend	K	T	Buy (add'l)	11/21/19	J		
66. Blackrock Mun BD FD Inc National Muni (BNMLX)	B	Dividend	K	T					
67. Dodge & Cox Income Fund (DODIX)	A	Dividend	J	T					
68. Fidelity Sch Str Tr Advisor Inter Mun (FIQZX)	B	Dividend	L	T	Buy	02/05/19	J		

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69.					Buy (add'l)	02/19/19	J		
70. Fidelity Intermediate Municipal Income (FLTMX) (Y)									
71. IShares Tips Bond ETF (TIP)	A	Dividend	J	T					
72. IShares Trust IShares 3 to 7 Year Treasury Bond ETF (IEI)	A	Dividend	J	T	Buy	09/24/19	J		
73. IShares Trust Ishares 7-10 Year Treasury Bond ETF (IEF)	A	Dividend	J	T	Buy	09/24/19	J		
74. JPMorgan TR I Intermediate Tax Free B (JITZX)	B	Dividend	K	T					
75. JPMorgan TR II Core Plus BD FD Ultra Cl (JCPUX)	A	Dividend			Sold	02/05/19	J		
76. Mainstay Funds, MacKay High Yield Corp Bd Fd R6 (MHSYS)	A	Dividend			Sold	02/19/19	J		
77. MFS Ser TR X Emerging Markets Debt Fd R6 (MEDHX)	A	Dividend			Sold (part)	02/19/19	J		
78.					Sold	03/04/19	J		
79. Pimco Income FD Instl CL (PIMIX)	A	Dividend	J	T					
80. Pimco Short Term Fund Instl Cl (PTSHX)	A	Dividend			Sold	09/24/19	J		
81. Six Circles TR Tax Aware Ultra Short (CUTAX)	A	Dividend	J	T					
82. Tax Exempt BD FD Amer CL F3 (TFEBX)	B	Dividend	K	T	Buy (add'l)	02/05/19	J		
83. Wells Fargo FDS TR Short Term Municip (WSBIX)	A	Dividend	K	T					

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

Part VII, line 4: Whole life policy (Adjustable Complife); no underlying investments.

Part VII, line 5: Non-term policy with cash value (65 Life); no underlying investments.

Part VII, lines 18-28: All investments are specific to the NY State 529 Plan.

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