

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) Nathan, Alison J.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 07/22/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse 40 Foley Square New York, NY 10007		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Nathan, Alison J.

Date of Report

07/22/2020

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. 2019	NYU School of Law (teaching income)	\$24,000.00
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. 2019	NYU School of Law (salary)
2. 2019	Melbourne Law School (salary)
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.	University of Melbourne Law School	8/26/19-8/28/19	Melbourne, Australia	Lecture on US Courts	Transportation (partial)
2.	UVA	10/29/19-10/30/19	Charlottesville, VA;	Judged moot court	Transportation, meals, lodging
3.	Second Circuit Federal Bar Council;	11/1/19-11/3/19	New Paltz, NY;	Moderated CLE panel	Transportation, meals, lodging
4.					
5.					

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Nathan, Alison J.	07/22/2020

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.			

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. Emigrant Direct (cash)	A	Interest	J	T					
3. Bank of America (cash)		None	K	T					
4. Chase (cash)	A	Interest	L	T					
5. IRA #1 (H)									
6. Vanguard Total Bond Market Index Adm Cl (VBTLX)	B	Dividend	K	T					
7. Vanguard Total Intl Stock Index Fund ETF (VXUS)	B	Dividend	L	T	Buy	08/07/19	L		
8. Vanguard Total Intl Bond Index ETF (BNDX)	A	Dividend	K	T	Buy	08/07/19	K		
9. Vanguard Total Stock Market ETF (VTI)	A	Dividend	K	T	Buy	08/07/19	K		
10. Vanguard Total Intl Bond Index Adm Cl (VTABX)	A	Dividend			Sold	08/07/19	K		
11. Vanguard Total Intl Stock Index Adm Cl (VTIAX)	B	Dividend			Sold	08/07/19	L		
12. Vanguard Total Stock Mkt Index Adm Cl (VTSAX)	A	Dividend			Sold	08/07/19	K		
13. Brokerage Account #2 (H)									
14. Vanguard Federal Money Market Fund (cash)	A	Dividend	K	T					
15. Congress Midcap Growth Fund INSTL Class (IMIDX)	A	Dividend	J	T					
16. Primecap Odyssey Growth Fund CL (POGRX)	A	Dividend	J	T					
17. Vanguard Total Intl Stock Index Adm (VTIAX) (X)	A	Dividend			Sold	08/07/19	J		

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18. Vanguard Total Intl Stock Index Fund ETF (VXUS)		None	J	T	Buy	08/07/19	J		
19. Vanguard Total Stock Market Index Fund Adm (VTSAX)	A	Dividend			Sold	08/07/19	K		
20. Vanguard Total Stock Market ETF (VTI)		None	K	T	Buy	08/07/19	K		
21. The Oakmark Select Fund (OAKLX)		None			Sold	07/22/19	J		
22. Invesco Aerospace & Defense ETF (PPA) (X)	A	Dividend	J	T					
23. Invesco S&P 500 Equal Weight Tech ETF (RYT)	A	Dividend	J	T					
24. Ishares S&P Mid-Cap 400 (IJJ)	A	Dividend	J	T					
25. Victoryshares US 500 Vol WTD ETF (CFA)	A	Dividend	J	T					
26. Brokerage Account #3 (H)									
27. Primecap Odyssey Growth Fund (POGRX)	A	Dividend	J	T					
28. Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy	08/07/19	J		
29. Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T	Buy	08/07/19	K		
30. Vanguard Total Stock Market ETF (VTI)	A	Dividend	K	T	Buy	08/07/19	K		
31. Vanguard 500 Index Adm Cl (VFIAX)	A	Dividend			Sold	08/07/19	K		
32. Vanguard Growth Index Adm Cl (VIGAX)	A	Dividend			Sold	08/07/19	J		
33. Vanguard Total Stock Market Index Adm Cl (VTSAX)	A	Dividend			Sold	08/07/19	K		
34. Brokerage Account #4 (H)									

1 Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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(See Column C2)

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35. TD Ameritrade Cash Account (cash)	A	Interest	J	T					
36. Apple Inc Stock (AAPL)	A	Dividend	K	T					
37. Retirement Plan #1 (H)									
38. Vanguard FTSE Social Index (VFTSX)	A	Dividend	M	T					
39. Vanguard Target Retirement 2020 (VTWNX)	D	Dividend	M	T					
40. Vanguard Target Retirement 2040 (VFORX)	D	Dividend	N	T					
41. 529 Account #1 (H)									
42. JPMorgan 529 Age-Based 9-10 Portfolio C		None	K	T					
43. 529 Account #2 (H)									
44. Vanguard Aggressive Age-Based Option		None	L	T					
45. 529 Account #3 (H)									
46. JPMorgan 529 Age-Based 9-10 Portfolio C		None	K	T					
47. 529 Account #4 (H)									
48. Vanguard Aggressive Age-Based Option		None	L	T					

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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Nathan, Alison J.	07/22/2020

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

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/ **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)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544