

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) Aaron, Stewart D.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 05/06/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Arnold & Porter Kaye Scholer LLP (nonemployee compensation agreement - see Part II)	\$168,723.00
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	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.)

<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.		
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. City National Bank (cash)	A	Interest	M	T					
3. Ally Online Savings Ally Bank (cash)	D	Interest	L	T					
4. American Express Bank (cash)	C	Interest	M	T					
5. Purepoint Financial (cash)	C	Interest	M	T					
6. Synchrony Bank (cash)	B	Interest	M	T					
7. TD Bank (cash)	A	Interest	J	T					
8. Lincoln Life Assurance Co. of Boston Fixed Annuity (formerly Liberty)		None	M	T					
9. Account #1 (H)									
10. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	J	T					
11. Vanguard Total Stock Market ETF (VTI)	A	Dividend	K	T					
12. Account #2 (H)									
13. Schwab Government Money Fund (SWGXX) (cash) (Y)									
14. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	D	Dividend	N	T					
15. Vanguard Total Stock Market ETF (VTI)	C	Dividend	N	T					
16. Cohen & Steers Preferred & Income (CPXIX)	D	Dividend	M	T					
17. DoubleLine Total Return Bond (DBLTX)	D	Dividend	M	T					

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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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)
18. Metropolitan West Total Return Bond (MWTIX)	D	Dividend	M	T					
19. Vanguard Inter-Term Bond Index (VBILX)	D	Dividend	N	T					
20. Vanguard Short Term Bond (VBIRX)	D	Dividend	N	T	Sold (part)	01/25/19	K	A	
21. American Funds Europacific Growth F2 (AEPFX)	D	Dividend	M	T	Sold (part)	01/25/19	J		
22. Eagle MLP Strategy Fd I (EGLIX)	D	Dividend	M	T					
23. Fidelity ADV Real Estate Income FD CL I (FRIRX)	C	Dividend	L	T	Buy	01/25/19	K		
24. Lazard Emrg Mkts Eqty (LZEMX)	B	Dividend	L	T	Sold (part)	01/25/19	J	A	
25. Lazard Intl Eqty (LZIEX)	C	Dividend	M	T	Sold (part)	01/25/19	J		
26. MFS International New Discovery I (MWNIX)	B	Dividend	L	T					
27. Account #3 (H)									
28. Vanguard Inter-Term Tx-Ex Adm (VWIUX)	A	Dividend	K	T					
29. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	J	T					
30. Account #4 (H)									
31. Wells Fargo Bank (cash)	C	Interest	M	T					
32. Account #5 (H)									
33. Optum Bank (cash) (Y)									
34. Vanguard Wellington Fund Investor Shares (VWELX)	C	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)
35. Account #6 (H)									
36. New York's 529 College Savings Program (cash)	A	Interest	J	T					
37. Account #7 (H)									
38. New York's 529 College Savings Program (cash)	B	Interest	K	T					
39. Account #8 (H)									
40. Schwab Government Money Fund (SWGXX) (cash)	A	Interest	M	T	Open	06/20/19	J		
41. Schwab Value Advantage (SWVXX)	D	Interest	N	T					
42. US Treasury Bond Bill (52 week) (912796RA9, 912796QC6, 912796PX1)	C	Interest			Matured (part)	03/28/19	L		
43.					Matured (part)	04/25/19	K		
44.					Matured	09/12/19	L		
45. US Treasury NT (2 year) (9128284J6)	B	Interest	L	T					
46. US Treasury NT (5 year) (9128284L1)	B	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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(See Column C2)

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

Part II, line 1: These contractual payments are the functional equivalent of a defined benefit plan, calculated upon a percentage of prior salary, for a five-year term following separation.

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 41, 42, 45, and 46 were transferred from Account #2 to Account #8 without 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/ 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