

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Failla, Katherine P.	2. Court or Organization Southern District of New York	3. Date of Report 5/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address Thurgood Marshall U.S. Courthouse 40 Foley Square, Room 2103 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.		
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.		
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. 2020	Proskauer Rose LLP (partnership draw)
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.		

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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. Northwestern Mutual Whole Life Policy	E	Int./Div.	N	T					
2. Northwestern Mutual Whole Life Policy	D	Int./Div.	M	T					
3. Wells Fargo Cash Equivalent Account	A	Interest	J	T					
4. Merrill Lynch Bank Deposit Program	A	Interest	J	T					
5. Intel Corp Common Stock	A	Dividend	J	T					
6. Pfizer Inc. Common Stock	B	Dividend	K	T					
7. P&G Common Stock	B	Dividend	K	T					
8. Microsoft Corp. Common Stock	B	Dividend	K	T					
9. Hennessy Select Large Value Fund	A	Dividend	J	T					
10. T. Rowe Price Equity Income Fund	A	Dividend	K	T					
11. Invesco Asia Pacific Growth Fund	A	Dividend	J	T					
12. Gabelli Gamco Growth Fund	A	Dividend	J	T					
13. Vanguard Equity Income Fund	A	Dividend	K	T					
14. Vanguard European Stock Index Fund	A	Dividend	J	T					
15. Vanguard NY Long Term Tax-Exempt Investor Fund	A	Dividend	K	T					
16. IRA #1									
17. - Invesco Van Kampen Comstock Fund	C	Dividend	L	T					

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.)

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18. - Invesco Van Kampen Small Cap Value Y Fund	A	Dividend	K	T					
19. - Morgan Stanley U.S. Government Securities Fund	A	Dividend	J	T					
20. - MS Short Duration Inc. I Fund (fka MS Inst. Ltd. Dur. I)	A	Dividend	J	T					
21. IRA #2									
22. - T. Rowe Price Retirement 2025 Fund	D	Dividend	M	T					
23. - Touchstone Small Cap Fund (fka Buffalo Small Cap Fund)	C	Dividend	K	T					
24. - JP Morgan Emerging Markets Equity Inst. Fund	B	Dividend	L	T					
25. - Schwab Retirement Advantage Money Fund	A	Dividend	K	T					
26. IRA #3									
27. - T. Rowe Price Retirement 2025 Fund	C	Dividend	K	T					
28. - T. Rowe Price Retirement 2030 Fund	D	Dividend	M	T					
29. - Touchstone Small Cap Fund (fka Buffalo Small Cap Fund)	A	Dividend	J	T					
30. - JP Morgan Emerging Markets Equity Inst. Fund	A	Dividend	J	T					
31. - Schwab Retirement Advantage Money Fund	A	Dividend	J	T					
32. IRA #4									
33. - Vanguard Federal Money Market Fund	A	Dividend	M	T					
34. - Vanguard Windsor II Fund	D	Dividend	L	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)					

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35. - Vanguard 500 Index Fund (Admiral Shares)	B	Dividend	L	T					
36. - Vanguard Morgan Growth Fund	C	Dividend	L	T					
37. IRA #5									
38. - Vanguard Federal Money Market Fund	A	Dividend	K	T					
39. - Vanguard Growth Equity Fund	A	Dividend	J	T					
40. - Vanguard PRIMECAP Fund (Admiral Shares)	D	Dividend	M	T					
41. - Vanguard Target Retirement 2015 Fund	C	Dividend	L	T					
42. - Vanguard Wellington Fund	C	Dividend	L	T					
43. - Vanguard Windsor II Fund	D	Dividend	L	T					
44. - Vanguard 500 Index Fund	B	Dividend	L	T					
45. IRA #6									
46. - Putnam Income (fka RCM Mid Cap Fund)	A	Dividend	J	T					
47. - Alliance Bernstein Sustainable Global (fka AB Glob. Them. Growth)	A	Dividend	J	T					
48. - Blackrock Long Horizon Fund	A	Dividend	K	T					
49. - Davis NY Venture Fund	A	Dividend	K	T					
50. - Putnam Int'l Equity Fund	A	Dividend	K	T					
51. - Putnam Investors Fund	A	Dividend	J	T					

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NONE (No reportable income, assets, or transactions.)

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	(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)
52. - Putnam Growth Fund	A	Dividend	K	T					
53. Citibank Accounts	A	Interest	K	T					
54. Proskauer Rose Capital Account	D	Interest	N	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ **Katherine P. Failla**

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