

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) Nathan, Alison J.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 07/26/2021
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 01/01/2020 to 12/31/2020
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.)

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

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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. 2020	NYU School of Law (teaching income)	\$23,000.00
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. 2020	NYU School of Law (salary)
2. 2020	Melbourne Law School (salary)
3. 2020	University of Oslo (advisory board stipend)
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. Second Circuit Federal Bar Council	02/24/2020 - 02/28/2020	Nassau, The Bahamas	Continuing legal education bench & bar conference	Trasnporation, lodging, food
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Nathan, Alison J.	07/26/2021

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	K	T					
3. Bank of America (cash)		None	K	T					
4. Chase (cash)	A	Interest	L	T					
5. Account #1 (H)									
6. Vanguard Total Bond Market Index Adm Cl (VBTLX)	A	Dividend	K	T	Sold (part)	04/15/20	J		
7.					Buy (add'l)	11/30/20	J		
8. Vanguard Total Intl Stock Index Fund ETF (VXUS)	B	Dividend	L	T	Buy (add'l)	04/15/20	J		
9.					Sold (part)	11/30/20	J		
10. Vanguard Total Intl Bond Index ETF (BNDX)	A	Dividend	K	T	Sold (part)	04/15/20	J		
11.					Buy (add'l)	11/30/20	J		
12. Vanguard Total Stock Market ETF (VTI)	A	Dividend	J	T	Sold (part)	04/15/20	J		
13.					Sold (part)	11/30/20	J		
14. Account #2 (H)									
15. Vanguard FTSE Social Index (VFTSX)	B	Dividend	M	T					
16. Vanguard Target Retirement 2020 (VTWNX)	D	Dividend	N	T					
17. Vanguard Target Retirement 2040 (VFORX)	D	Dividend	O	T	Buy (add'l)	01/03/20	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.)

☐

 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.					Buy (add'l)	02/03/20	J		
19.					Buy (add'l)	03/03/20	J		
20.					Buy (add'l)	04/02/20	J		
21.					Buy (add'l)	05/04/20	J		
22.					Buy (add'l)	06/02/20	J		
23.					Buy (add'l)	07/02/20	J		
24.					Buy (add'l)	08/03/20	J		
25.					Buy (add'l)	09/02/20	J		
26.					Buy (add'l)	10/02/20	J		
27.					Buy (add'l)	10/30/20	J		
28.					Buy (add'l)	12/01/20	J		
29. Account #3 (H)									
30. Vanguard Federal Money Market Fund (cash)	A	Dividend	K	T					
31. Congress Midcap Growth Fund INSTL Class (IMIDX)		None			Sold	04/15/20	J	A	
32. Primecap Odyssey Growth Fund CL (POGRX)	A	Dividend	J	T					
33. Vanguard Total Intl Stock Index Fund ETF (VXUS)	A	Dividend	J	T	Buy (add'l)	11/30/20	J		
34. Vanguard Total Stock Market ETF (VTI)	A	Dividend	L	T	Buy (add'l)	04/15/20	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
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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
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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.)

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

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	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.					Buy (add'l)	11/30/20	J		
36. Invesco Aerospace & Defense ETF (PPA)	A	Dividend			Sold	04/15/20	J	A	
37. Vanguard Value ETF (VTV) (X)	A	Dividend	J	T					
38. Invesco S&P 500 Equal Weight Tech ETF (RYT)	A	Dividend	J	T					
39. Ishares S&P Mid-Cap 400 Value (IJJ)	A	Dividend			Sold	04/15/20	J		
40. Victoryshares US 500 Vol WTD ETF (CFA)	A	Dividend			Sold	04/15/20	J	A	
41. Account #4 (H)									
42. Primecap Odyssey Growth Fund (POGRX)	A	Dividend	J	T					
43. Vanguard Growth ETF (VUG)	A	Dividend	J	T					
44. Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T					
45. Vanguard Total Stock Market ETF (VTI)	A	Dividend	L	T					
46. Account #5 (H)									
47. TD Ameritrade Cash Account (cash) (Y)									
48. Apple Inc Stock (AAPL)	B	Dividend	M	T					
49. Account #6 (H)									
50. NY 529 Aggressive Age-Based Option: Blended Growth		None	K	T	Buy	08/06/20	K		
51. NY 529 Aggressive Age-Based Option: Growth Portfolio (X)		None			Sold	08/06/20	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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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

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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)
	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. Account #7 (H)									
53. Vanguard Target Enrollment 2026/27 Portfolio		None	L	T	Buy	10/30/20	L		
54. Vanguard Aggressive Age-Based Option (70STK30BND)		None			Sold	08/04/20	L		
55. Vanguard Aggressive Age-Based Option (60STK40BND)		None			Buy	08/04/20	L		
56.					Sold	10/30/20	L		
57. Account #8 (H)									
58. NY 529 Aggressive Age-Based Option: Blended Growth		None	K	T	Buy	08/06/20	K		
59. NY 529 Aggressive Age-Based Option: Growth Portfolio (X)		None			Sold	08/06/20	K		
60. Account #9 (H)									
61. Vanguard Target Enrollment 2026/27		None	L	T	Buy	10/30/20	L		
62. Vanguard Aggressive Age-Based Option (70STK30BND)		None			Sold	08/04/20	L		
63. Vanguard Aggressive Age Based Option (60STK40BND)		None			Buy	08/04/20	L		
64.					Sold	10/30/20	L		

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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Name of Person Reporting

Nathan, Alison J.

Date of Report

07/26/2021

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

Parenthetical numbers in Part VII are CUSIP numbers.

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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Name of Person Reporting

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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
Suite 2-301
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Washington, D.C. 20544