

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) Lane, Sean H.	2. Court or Organization U.S. Bankruptcy Court for the Southern District of NY	3. Date of Report 05/07/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - (FT)	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. 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 (reportable assets are listed in Part VII)
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 (no control)
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	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.				
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. Federal subsidized student loans (Stafford and Perkins loans)	College loans	J
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. Chase Bank (cash)	A	Interest	M	T					
3. U.S. Savings Bonds	A	Int./Div.	J	T					
4. Northwestern Mutual Life Insurance Policy #1	A	Dividend	J	T					
5. Northwestern Mutual Life Insurance Policy #2	A	Dividend	J	T					
6. Account #1 (H)									
7. TRP Div. Growth I (PRDGX)	A	Dividend	L	T					
8. Fid Growth Co K6 (FGKFX)	B	Dividend	M	T					
9. Fidelity 500 Index (FXAIX)	B	Dividend	L	T					
10. Account #2 (H)									
11. Vanguard Instl Index Plus	D	Dividend	N	T					
12. TRP Retirement 2030		None			Sold	03/06/20	M		
13. TRP Retirement 2035 (TR)		None	O	T	Buy	03/06/20	O		
14.					Buy (add'l)	11/03/20	J		
15.					Buy (add'l)	11/27/20	J		
16. TRP Retirement 2040 (TRRDY)		None			Sold	03/06/20	O		
17. Account #3 (H)									

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) 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)
18. Blackrock Index Fds Inc (BTMKX)		None			Sold (part)	03/09/20	J		
19.					Sold	03/19/20	J		
20. Fidelity Salem STR TR Fidelity 500 Index Fund (FXAIX)	A	Dividend	J	T	Buy (add'l)	02/10/20	J		
21.					Sold	03/19/20	J		
22.					Buy	04/24/20	J		
23.					Sold	06/09/20	J	A	
24.					Buy	09/21/20	J		
25. IShares Core MSCI Emerging Markets (IEMG)	A	Dividend	J	T	Buy	10/21/20	J		
26. J P Morgan Exchange Traded FD TR BetaBuilders CDA (BBCA)	A	Dividend	J	T					
27. J P Morgan Exchange Traded FD TR BetaBuilders Europe (BBEU)	A	Dividend	J	T	Buy	06/09/20	J		
28. J P Morgan Exchange Traded FD TR BetaBuilders Japan (BBJP)	A	Dividend	J	T	Sold (part)	02/10/20	J	A	
29.					Sold	03/19/20	J		
30.					Buy	06/09/20	J		
31. JPMorgan TR I Tax Aware Equity Fd Cl R6 (JPELX) (X)		None			Sold	02/10/20	J	A	
32. Six Circles TR Intl Unconstrained Equity (CIUEX)	A	Dividend	K	T	Buy (add'l)	02/10/20	J		
33. Six Circles TR US Unconstrained Equity (CUSUX)	B	Dividend	K	T	Sold (part)	06/09/20	J	A	
34. Vanguard Index TR Vanguard 500 Index Fd Adm (VFIAX)	B	Dividend	L	T	Sold (part)	08/28/20	J	B	

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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	(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)
35. Vanguard Index TR Vanguard Intl Equity Index Fd. FTSE Europe ETF (VGK)		None			Sold	03/19/20	J		
36. Aberdeen Fds Ultr Shrt Mun Incm Fd Instl Cl (ATOIX)	A	Dividend			Sold (part)	08/28/20	J		
37.					Sold	11/04/20	J		
38. Blackrock Mun BD FD Inc National Muni (BNMLX)	A	Dividend	K	T					
39. Dodge & Cox Income Fund (DODIX)	A	Dividend			Sold (part)	05/13/20	J	A	
40.					Sold (part)	06/09/20	J	A	
41.					Sold	10/21/20	J	A	
42. Federated Hrms Instl High Yield Bd Fd Cl R6 (FIHLX)	A	Dividend	J	T	Buy	05/13/20	J		
43. Fidelity Sch Str Tr Advisor Inter Mun (FIQZX)	B	Dividend	L	T	Buy (add'l)	03/09/20	J		
44.					Buy (add'l)	03/31/20	J		
45. IShares Tips Bond ETF (TIP)	A	Dividend			Sold	03/09/20	J	A	
46. IShares Trust IShares 3 to 7 Year Treasury Bond ETF (IEI)	A	Dividend	J	T	Buy (add'l)	03/06/20	J		
47.					Sold (part)	09/21/20	J	A	
48. IShares Trust Ishares 7-10 Year Treasury Bond ETF (IEF)	A	Dividend			Sold	03/31/20	J	A	
49. JPMorgan TR I Intermediate Tax Free B (JITZX)	B	Dividend	K	T	Sold (part)	11/04/20	J	A	
50. Mainstays Fds Mackay High Yield Corp Bd Fd (MHYSX)	A	Dividend	K	T	Buy	03/31/20	J		
51.					Buy (add'l)	05/13/20	J		

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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. Pimco Income FD Instl CL (PIMIX)	A	Dividend	J	T	Buy (add'l)	11/04/20	J		
53. Schwab Strategic Tr Short-Term US Treasury (SCHO)	A	Dividend	J	T	Buy	11/04/20	J		
54. Six Circles TR Tax Aware Bd Fd Solicited (CBTAX)	A	Dividend	L	T	Buy	08/28/20	K		
55.					Buy (add'l)	11/04/20	K		
56. Six Circles TR Tax Aware Ultra Short (CUTAX)	A	Dividend	J	T	Sold (part)	04/24/20	J		
57. Tax Exempt BD FD Amer CL F3 (TFEBX)	B	Dividend	K	T	Buy (add'l)	03/09/20	J		
58.					Sold (part)	08/28/20	K	A	
59.					Sold (part)	11/04/20	J	A	
60. Wells Fargo Fds TR Short Term Mun Bd Fd Cl R6 (WSSRX) (X)	A	Dividend	K	T					
61. JPMorgan TR 1 Large Cap Value Fd CL R6 (JLVMX) (Y)									
62. JPMorgan TR 1 Tax Aware Equity Fund (JPDEX) (Y)									
63. Wells Fargo FDS TR Short Term Municip (WSBIX) (Y)									
64. Account #4 (H)									
65. NYS529 Mid-Cap Stock Index Portfolio		None	J	T	Buy (add'l)	03/10/20	J		
66. NYS529 Growth Stock Index Portfolio		None	K	T	Buy (add'l)	03/10/20	J		
67. NYS529 Growth Portfolio		None	J	T	Buy (add'l)	03/10/20	J		
68. Account #5 (H)									

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)
	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)
69. NYS529 Conservative Age-Based Option: Interest Accumulation Portfolio		None	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Northwestern Mutual Life Insurance Policy #1 is a whole life policy (Adjustable Complife); no underlying investments.

Northwestern Mutual Life Insurance Policy #2 is a non-term policy with cash value (65 Life); no underlying investments.

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
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Washington, D.C. 20544