

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 01/06/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Bankruptcy Court Alexander Customs House, One Bowling Green New York, N.Y. 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
2.		
3.		
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.	Continuing	Participation in Baker Hostetler 401k plan
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2013	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. St. John's Law School and the American Bankruptcy Institute	3/11/12	New York, N.Y.	Serve as moot court judge for Conrad Duberstein Bankruptcy Moot Court Competition	Received lunch; attended moot court award dinner; provided baked goods from St. John's for judging moot court.
2. Hudson Valley Bar Association	9/19/13 - 9/20/13	Poughkeepsie, N.Y.	Speaker at event: New Deal for Consumer Bankruptcy	Hotel on 9/19; travel expenses; breakfast/lunch at conference; given book, bottle of wine and nominal continuing legal education fee
3. National Association of Federal Equity Receivers	9/26/13 - 9/28/13	Chicago, Illinois	Panelist at conference	Hotel, travel expenses including meals
4. Federal Bar Council	11/27/13	New York, NY	Annual Thanksgiving Luncheon	Ticket for event (including lunch)

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	University of Notre Dame	Tuition for oldest child	L
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. Fidelity 401k (Baker Hostetler), including:	E	Int./Div.	M	T					
2. - Fidelity Growth Co. K.									
3. - Spartan 500 Index Inst (previously Spartan 500 Index Ind.)									
4. - Hartford Cap App					Closed	12/31/13	K		
5. - TRP Div. Growth					Open	12/31/13	K		
6. Trust # 1(title to house in Hartsdale, New York)		None	N	W					
7. Fidelity Rollover IRA (Fid. Gov't Money Market)		None			Closed	01/08/13	M		
8. [REDACTED] 401k, including:									
9. - Fid. Dividend Gr, K	E	Int./Div.	L	T	Open	01/08/13	L		
10. - Artisan Mid Cap Inv	D	Int./Div.	M	T	Open	01/08/13	M		
11. - Fidelity Freedom K	E	Int./Div.	M	T					
12. U.S. Savings Bonds (combined value of all)		None	L	W					
13. Northwestern Mutual Life Insurance, including:									
14. - Policy #1 (nonterm with cash value)	A	Int./Div.	J	T					
15. - Policy #2 (nonterm with cash value)	A	Int./Div.	J	T					
16. NY State 529 Plans (total value for all), including:	E	Int./Div.	M	T					
17. - Mid Cap Stock Index Portfolio									

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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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. - Growth Stock Index Portfolio									
19. - Small Cap Stock Index Port.									
20. - Aggressive Growth Port.									
21. Chase Bank Account (including savings and checking accounts)	A	Interest	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.)*

Three notes for Part VII, Investments and Trusts:

The Crowell & Moring 401k account listed as closed in last year's report was rolled over to the Fidelity Rollover IRA (Fid. Gov't Money Market) that was listed as opened in last year's report. This year's report reflects that the money from that Fidelity Rollover IRA (Fid. Gov't Money Market) was rolled over into the [REDACTED] 401k, thus increasing the amounts held in that 401k. Bottom line, the money from the Crowell & Moring 401k ended up in the [REDACTED] 401k. When the money finally ended up in the [REDACTED] 401k in January 2013, the investment options were changed at the same time.

In a change from my last report, I have chosen to use aggregate reporting for certain assets, including the Fidelity 401k (lines 1-5) and the NY State 529 Plans (lines 16-20).

There are no reportable assets in Trust #1 (line 6).

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544