

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) Netburn, Sarah	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 01/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
5b. ☒ Amended Report		
7. Chambers or Office Address 40 Foley Square Room 430 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. 2013	Cuti Hecker Wang -- 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.)

	<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.			
2.			
3.			
4.			
5.			

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Name of Person Reporting

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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. ACCOUNT #1									
2. Alps ETF	A	Dividend	J	T					
3. Egshares Emerging Markets Consumer ETF	A	Dividend			Sold	2/25/13	J	A	
4. First Trust ISE-REV NAT GAS	A	Dividend			Sold	3/07/13	J	A	
5. FT NASDAQ Tech DVD Index Fund ETF	A	Dividend			Buy	1/15/13	J		
6.					Sold	7/5/13	J	A	
7. Greenhaven Continuous Commodity Index Fund DE	A	Dividend			Sold	8/15/13	J	A	
8. iShares DJ Select Divid Index Fund	A	Dividend	J	T					
9. iShares NASDAQ Biotechnology Index Fund	A	Dividend	J	T					
10. iShares US Real Estate	A	Dividend	J	T	Buy	7/5/13	J		
11. Market Vectors Gold Miners ETF	A	Dividend			Sold (part)	8/28/13	J	A	
12.					Sold	9/18/13	J	A	
13. Pimco 1-5 Yr US Tips Index ETF	A	Interest	J	T					
14. Vanguard Index Funds Vanguard Small Cap ETF	A	Dividend	J	T	Sold (part)	11/22/13	J	A	
15. iShares Barclays 1-3 Yr Credit Bond Fund	A	Dividend	J	T					
16. iShares Barclays 1-3 Yr Treas. Bond FD	A	Interest	J	T	Sold (part)	2/25/13	J	A	
17. iShares Barclays TIPS Bond Fund	A	Interest	J	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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18. iShares IBOXX High Yield Corp Bond	A	Interest	J	T					
19. iShares S&P 500 Value	A	Interest	J	T	Buy (add'l)	1/14/13	J		
20.					Buy (add'l)	1/23/13	J		
21.					Sold (part)	11/22/13	J	A	
22. iShares Trust S&P 500 Growth Index Fund DE	A	Interest	J	T	Buy (add'l)	1/14/13	J		
23.					Buy (add'l)	1/23/13	J		
24.					Sold (part)	11/22/13	J	A	
25. iShares S&P 100 Index Fund DE	A	Interest	J	T					
26. iShares Gold Trust ETF	A	Interest			Sold (part)	8/27/13	J	A	
27.					Sold (part)	9/3/13	J	A	
28.					Sold	9/18/13	J	A	
29. iShares TR FLTG Rate NT ETF	A	Dividend	J	T	Buy	2/22/13	J		
30. JPM Chase Capital XXVII 7.200% Due 12/22/39 Callable	A	Interest	J	T					
31. Powershares Exchange Traded FD TR FINL PFD Portfolio	A	Dividend	J	T					
32. Vanguard Short Term Corporate BD ETF	A	Interest	J	T					
33. Powershares DB Commodity Index Tracking Fund	A	Dividend	J	T	Buy (add'l)	8/15/13	J		
34. Powershares DB Multi Sector Commodity TR DB Agriculture Fund	A	Dividend	J	T	Buy (add'l)	8/15/13	J		

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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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35. SPDR Gold Trust	A	Dividend			Sold (part)	08/27/13	J	A	
36.					Sold	9/18/13	J	A	
37. SPDR Metals and Mining	A	Dividend	J	T	Buy	05/10/13	J		
38. SPDR S&P Emerging Markets ETF DE	A	Dividend	J	T					
39. SPDR SER TR Barclays Cap Conv ETF	A	Dividend	J	T					
40. SPDR Barclays Convertible SEC ETF	A	Dividend			Sold	2/22/13	J	A	
41. Vanguard Index Funds MFD INC FSTE ALL	A	Dividend	J	T					
42. Vanguard Index Funds Mid Cap	A	Dividend	J	T	Sold (part)	11/22/13	J	A	
43. Vanguard Intel Equity Index FD INC FSTE ALL-WORLD EX-U	A	Dividend	J	T	Buy (add'l)	1/14/13	J		
44.					Buy (add'l)	1/23/13	J		
45.					Sold (part)	11/22/13	J	A	
46. Vanguard Info Tech	A	Dividend	J	T	Buy	5/20/13	J		
47.									
48. Columbia Aggressive Growth NY 529 Portfolio Class A	E	Int./Div.	M	T					
49.									
50. IRA #1	D	Dividend	M	T					
51. - UBS Pace Money Market Investment Fund Class P									

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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)
52. - Calamos Convertible Fund Class A									
53. - DWS Dreman Small Cap Value Fund Class A									
54. - Eaton Vance Richard Bernstein Equity									
55. - Federated Kaufman Fund Class A									
56. - Goldman Sachs Mid Cap Value Fund Class A									
57. - Olstein All Cap Value Fund Advisor Class									
58. - Henderson Global Investors Intl Opportunities Fund A									
59. - Oppenheimer Developing Markets Fund CL A									
60. -- Oppenheimer Equity Income Fund Inc. Cl A									
61. - Blackrock Inflation Protected Bond A									
62. - Calvert Short Duration Income Fund Class A					Sold (part)	1/24/13	J	A	
63. - JP Morgan Short Duration Bond Fund Class A									
64. - Pimco Real Return Fund Class A					Sold (part)	4/23/13	J	A	
65.					Sold (part)	7/24/13	J	A	
66.					Sold (part)	10/24/13	J	A	
67. - Pimco Total Return Fund Class A									
68. - Putnam Voyager Fund Inc. Cl A									

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69.									
70. UBS Bank USA Deposit Account	A	Interest	J	T					
71.									
72. UBS Select Prime Investor Fund	A	Interest	M	T					
73.									
74. RMA Money Mkt Portfolio		None	J	T					
75.									
76. IRA # 2	A	Int./Div.	J	T					
77. - UBS Bank USA Deposit Account									
78. - Eaton Vance Richard Bernstein Equity									
79.									
80. IRA #3	C	Int./Div.	M	T					
81. - Alps ETF					Buy (add'l)	11/14/13	J		
82. - iShares S&P 500 Value ETF									
83. - iShares S&P 500 Growth									
84. - First Trust ISE-REV Nat Gas					Sold (part)	02/25/13	J	A	
85. - Egshares Emerging Markets Consumer ETF					Sold	02/25/13	J	A	

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86. - iShares S&P 100 Index Fund DE									
87. - SPDR S&P Emerging Markets ETF DE									
88. - SPDR Metals & Mining ETF DE					Buy	5/10/13	J		
89.					Buy (add'l)	5/16/13	J		
90.					Buy (add'l)	5/16/13	J		
91. - Vanguard Intl Equity Index FD Inc FSTE ALL					Sold (part)	11/27/13	J	A	
92. - Vanguard Index Funds Vanguard Mid Cap ETF DE					Sold (part)	11/27/13	J	A	
93. - Vanguard Index Funds Vanguard Small Cap ETF DE					Sold (part)	11/27/13	J	A	
94. - iShares Barclays Tips Bond Fund					Sold	03/07/13	J	A	
95. - iShares Barclays Gold Trust ETF DE					Buy	2/28/13	J		
96.					Buy (add'l)	4/18/13	J		
97.					Sold (part)	8/27/13	J	A	
98.					Sold (part)	9/3/13	J	A	
99.					Sold	9/18/13	J	A	
100. - iShares US Real Estate ETF					Buy	9/11/13	J		
101. - Powershares DB Multi Sector Commodity TR DB Agriculture Fund					Buy (add'l)	8/15/13	J		See line 134 of 2012 Rpt.
102. - Powershares DB Commodity Index Tracking Fund					Buy (add'l)	8/15/13	J		See line 133 of 2012 Rpt.

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103. - Vanguard Sector Index FD Information Tech ETF					Buy	5/20/13	J		See transaction column D.
104. - Vanguard Short Term Corporate BD ETF DE									See line 160 of 2012 Rpt.
105. - Vanguard Ftse All World					Buy	01/14/13	J		
106. - iShares 1-3 Treas Bond									
107. - Greenhaven Continuous Commodity Index Fund DE					Sold	08/15/13	J	A	
108. - iShares S&P 500 Value					Sold	11/22/13	J	A	
109. - iShares S&P 500 Growth					Sold	11/22/13	J	A	
110. - Vanguard Inex Funds (VB) -- F/K/A Vanguard Index Funds Small Cap					Sold	11/22/13	J	A	
111. - Vanguard Inex Funds (VO)					Sold	11/22/13	J	A	
112.									
113. IRA #4	D	Int./Div.	M	T					
114. - JRHOX					Buy	4/10/13	K		
115.									
116. Buckeye Delta Fund LP (no control)	E	Dividend	O	T					
117.									
118.									
119.									

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120.									
121.									
122.									
123.									
124.									
125.									
126.									
127.									
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

01/14/2015

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

With respect to Buckeye Delta Fund LP (listed in Part VII), in addition to dividend income, this fund generated income through capital gains, expenses and unrealized appreciation. "iShares FTSE/XINHUA China 25 Index Fund" was listed on my 2012 Report in error. There is no record of our having ever owned this asset. It therefore does not appear in this 2013 report. In my 2012 Report, I inadvertently left out Vanguard Inex Funds (VB) and Vanguard Inex Funds (VO) (found at lines 109 and 110 in Part VII) as assets held within IRA #3. Accordingly, those assets are reflected here (and were sold in full in 2013) but they did not appear on the 2012 Report. Finally, in my 2012 Report, I inadvertently omitted [REDACTED] retirement account from [REDACTED] law firm. That account was funded in 2012 with a \$50,000 contribution (JRHOX), and earned income of \$5,267.88 in 2012.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Netburn, Sarah

Date of Report

01/14/2015

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/ Sarah Netburn

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