

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) Wang, Ona T.	2. Court or Organization U.S. District Court - Southern District of New York	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 500 Pearl Street 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.		
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	Hospital for Special Surgery (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. Citimortgage	Mortgage on rental property	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. Individual Assets (H)									
2. Citibank (cash)	A	Interest	N	T					
3. Vanguard Money Market (cash)	A	Interest	J	T					
4. Investment Property #1, Stratton, VT	A	Rent	N	W					
5. Investment Property #2, Lake Las Vegas, NV		None	O	W					
6. HS2, LLC	A	Interest	J	U					
7. HSS ASC LLC (X)	G	Distribution	N	U					
8. Minnesota Life Insurance Variable Universal Life Insurance (H)									
9. MSTAR Balanced ETF1		None	L	T					
10. Fidelity VIP Contrafund		None	L	T					
11. MSTAR Growth ETF1		None	L	T					
12. Ivy VIP Small Cap Core		None	L	T					
13. Brokerage Account #1 (H)									
14. E-Trade Bank (cash sweep)	A	Interest	K	T					
15. Amazon (AMZN)		None	K	T					
16. Apple (AAPL)	B	Dividend	N	T					
17. Caterpillar (CAT)	A	Dividend	J	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.)

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				
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18. Cboe Global Markets (CBOE)	A	Dividend	J	T					
19. Chevron (CVX)	A	Dividend	J	T					
20. Cisco Systems (CSCO)	A	Dividend	J	T					
21. Intel (INTC)	A	Dividend	J	T					
22. Walt Disney Co. (DIS)	A	Dividend	K	T					
23. 403B #1 (H)									
24. TIAA Traditional (TIAA)		None	J	T					
25. TIAA Real Estate (TIREX)		None	J	T					
26. CREF Bond Market R3 (QCBMIX)		None	J	T					
27. CREF Stock R3 (QCSTPX)		None	K	T					
28. Vanguard Inst Tg Rtm 45 Inst (VITLX)	D	Dividend	O	T					
29. 457B #1 (H)									
30. TIAA Traditional (TIAA)		None	J	T					
31. CREF Stock R3 (QCSTPX)		None	K	T					
32. TIAA Real Estate		None	J	T					
33. CREF Bond Market R3 (QCBMIX)		None	J	T					
34. CREF Money Market R3		None	J	T					

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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. Vanguard Inst Tg Rtm 45 Inst (VITLX)	C	Dividend	M	T					
36. 403B #2 (H)									
37. Vanguard Inst Tgt Ret 2030 (VTTWX)	D	Dividend	N	T	Buy (add'l)	01/07/20	J		
38.					Buy (add'l)	01/22/20	J		
39.					Buy (add'l)	02/04/20	J		
40.					Buy (add'l)	02/19/20	J		
41.					Buy (add'l)	03/02/20	J		
42.					Buy (add'l)	03/18/20	J		
43.					Buy (add'l)	03/31/20	J		
44.					Buy (add'l)	04/15/20	J		
45.					Buy (add'l)	04/27/20	J		
46.					Buy (add'l)	05/12/20	J		
47. 403B #3 (H)									
48. Vanguard Inst Tgt Ret 2030 (VTTWX)	C	Dividend	M	T	Buy (add'l)	01/07/20	J		
49. IRA #2 (H)									
50. Vanguard 500 Index Fund Adm (VFIAX)	A	Dividend	J	T					
51. IRA #3 (H)									

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3 Value Method Codes (See Column C2)					

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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. Blackrock Global Allocation A (MDLOX)	C	Dividend	L	T					
53. 529 ACCT #1 (H)									
54. NYs 529 Aggressive Age-Based Option: Aggressive Portfolio		None	L	T					
55. NYs 529 Conservative Growth Portfolio		None	K	T					
56. 529 ACCT #2 (H)									
57. NYs 529 Aggressive Age-Based Option: Aggressive Growth		None	M	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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/ Ona T. Wang**

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