

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 11/24/2015
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 01/01/2014 to 12/31/2014
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.		
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.)*

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.	
2. 2014	
3. 2014	West Publishing - Book royalties
4. 2014	Taylor and Francis Publishing - Book Royalties

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. Federal Bar Council	2/8/2014 to 2/15/2014	Liberia, Costa Rica	Participate in educational conference panel and attend other panels	Transportation, hotel, meals (self and spouse)
2. Harvard Law School	3/31/2014 to 4/1/2014	Cambridge, MA	Moot court	Transportation, hotel, meals
3. University of Washington School of Law	5/19/2014 to 5/20/2014	Seattle, WA	Teaching for Jurist in Residence Program	Transportation, meals
4. Federal Bar Council	10/24/2014 to 10/26/2014	Pocono Manor, PA	Participate in educational conference panel and attend other panels	Transportation, hotel, meals (self and spouse)
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.	Sallie Mae	Student Loans	K
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. Aberdeen Emerging Markets Fund ABEMX	A	Dividend			Sold	01/24/14	J	B	
2. American Century Diversified Bond Fund, ADFX (Y)									
3. American Century Short, APOIX (Y)									
4. Blackrock Global Long Short Credit Fund BGCIX	A	Dividend	J	T	Buy (add'l)	10/24/14	J		
5.					Sold (part)	06/06/14	J	A	
6.					Sold (part)	02/13/14	J	A	
7.					Sold (part)	09/22/14	J	A	
8. Delaware National High Yield Muni Bond DVHIX (X)	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
9. Eaton Vance Fund EIBLX (X)	A	Dividend	J	T	Sold (part)	02/12/14	J	C	
10.					Sold (part)	06/05/14	J	C	
11. Eaton Vance floating, EIFAX (Y)									
12. Fidelity Advisor Biotechnology Fund FBTIX	A	Dividend	J	T	Buy (add'l)	06/06/14	J		
13.					Sold (part)	09/22/14	J	A	
14.					Sold (part)	02/13/14	J	A	
15. Fidelity Advisor Industrials Fund FCLIX	A	Dividend	J	T	Buy (add'l)	09/22/14	J		
16.	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
17.	A	Dividend	J	T	Sold (part)	02/13/14	J	A	

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 H ~\$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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18. Fidelity Advisor Materials Fund FMFEX	A	Dividend	J	T	Sold (part)	02/13/14	J	A	
19.	A	Dividend	J	T	Sold (part)	02/13/14	J	A	
20. Fiduciary/Clay MLP Opp FMO	A	Dividend	J	T	Buy (add'l)	10/28/14	J		
21.					Buy (add'l)	02/12/14	J		
22.					Buy (add'l)	09/19/14	J		
23. Franklin Intl small Cap FKSCX	A	Dividend	J	T	Buy	02/12/14	J		
24. Franklin Mutual Global Discovery Z MDISX	A	Dividend	J	T	Buy (add'l)	09/22/14	J		
25.					Buy	06/05/14	J		
26. Invesco Balanced Risk ABRYX (Y)									
27. Ishares US Consumer Goods EFT IYK	A	Dividend	J	T	Buy	02/12/14	J		
28.					Sold (part)	09/19/14	J	C	
29. Ivy Science and Technology Fund ISTIX	A	Dividend	J	T	Buy (add'l)	09/19/14	J		
30.					Buy	02/12/14	J		
31. Kayne Anderson MLP KYN	A	Dividend	J	T	Buy (add'l)	02/12/14	J		
32. Loomis Sayles Strategic NEZYK	A	Dividend	J	T	Buy	10/23/14	J		
33. Lord Abbott Short, LDLFX	A	Dividend	J	T	Buy (add'l)	10/24/14	J		
34.					Buy (add'l)	09/19/14	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	
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35.					Sold (part)	02/13/14	J	A	
36.					Sold (part)	10/24/14	J	A	
37. Lord Abbott Intermediate LISFX (X)	A	Dividend	J	T	Sold (part)	10/24/14	J	A	
38.					Buy (add'l)	09/19/14	J		
39.					Buy (add'l)	02/12/14	J		
40. Mainstay High Yield, MYHIX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
41.					Buy (add'l)	09/19/14	J		
42.					Buy (add'l)	10/23/14	J		
43.					Sold (part)	08/01/14	J	D	
44. Mainstay Marketfield, MFLDX	A	Dividend			Sold (part)	02/13/14	J	A	
45.					Buy (add'l)	01/27/14	J		
46.					Sold (part)	09/19/14	J	B	
47.					Buy (add'l)	06/06/14	J		
48.					Sold	10/15/14	J	D	
49. Metropolitan West Total MWTIX	A	Dividend	J	T	Buy	10/27/14	J		
50. MFS Muni Limited, MTLIX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
51. MFS Utilities FD CL 1, MMUIX (X)	A	Dividend	J	T					

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52. Neuberger Berman Absol Rtrn Multi Mgr Fd NABIX	A	Dividend	J	T	Sold (part)	02/13/14	J	A	
53.					Buy (add'l)	10/24/14	J		
54.					Buy (add'l)	01/27/14	J		
55.					Buy (add'l)	09/22/14	J		
56. Neuberger Berman Multi Cap Opp fund NMULX	A	Dividend	J	T	Buy (add'l)	09/22/14	J		
57.					Sold (part)	02/12/14	J	C	
58. Neuberger Berman Strategy NSTLX (Y)									
59. Nuveen Global, FGIYX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
60.					Sold (part)	09/22/14	J	A	
61.					Sold (part)	06/06/14	J	A	
62. Pimco All Asset All Authority, PAUPX	A	Dividend			Sold	02/13/14	J	C	
63.					Sold (part)	01/27/14	J	C	
64. Pimco Fundamental Indexplus PIXPX	A	Dividend	J	T	Buy	09/19/14	J		
65.					Buy (add'l)	10/23/14	J		
66.					Sold (part)	10/15/14	J	B	
67. Pimco Global Multi PGAPX (Y)									
68. Powershares DYN Oil and Gas PXJ (Y)									

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69. Principal Funds POSPX	A	Dividend	J	T	Buy	10/23/14	J		
70. Robeco BP Long Short Research BPIRX (Y)									
71. Robeco BP Long Short, BPLSX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
72.					Buy (add'l)	09/22/14	J		
73.					Buy (add'l)	10/24/14	J		
74.					Sold (part)	06/06/14	J	A	
75.					Sold (part)	12/19/14	J	B	
76.									
77. RS Floating Rate Fund, RSFYX	A	Dividend			Sold (part)	02/13/14	J	C	
78.					Sold	10/23/14	J	B	
79. RS Global Natural, RSNYX (Y)									
80. SPDR KBW Regional Banking EFT KRE (Y)									
81. SPDR® S&P 500 ETF SPY	A	Dividend	J	T	Buy	12/30/14	J		
82. SunAmerica Focused Dividend Strategy FDSWX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
83.					Sold (part)	09/22/14	J	B	
84. Sunamerica Focused FDSAX (Y)									
85. T Rowe Price Capital Appreciation Fd Retail PRWCX	A	Dividend	J	T	Sold (part)	02/13/14	J	B	

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86. Templeton Frontier FFRZX	A	Dividend			Sold	12/26/14	J	B	
87. Templeton Gbl Bond Fund, TGBAX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
88.					Sold (part)	09/19/14	J	B	
89.					Sold (part)	10/23/14	J	B	
90. The Oakmark Intl Fund OAKIX	A	Dividend	J	T	Buy (add'l)	02/13/14	J		
91.					Buy (add'l)	09/22/14	J		
92.					Buy (add'l)	10/24/14	J		
93.					Sold (part)	10/27/14	J	C	
94. The Oakmark Select Fund OAKLX	A	Dividend	J	T	Buy	10/24/14	J		
95. Touchstone Sands Capital Select Growth Fund CFSIX	A	Dividend	J	T	Buy (add'l)	06/06/14	J		
96.					Sold (part)	10/24/14	J	C	
97.					Buy (add'l)	12/15/14	J		
98. Vanguard Energy ETF VDE (Y)									
99. Wells Fargo Absolute Return Fd WARDX	A	Dividend	J	T	Buy (add'l)	10/24/14	J		
100.					Sold (part)	09/19/14	J	B	
101. Yacktman Fund CL Service, YACKX	A	Dividend	J	T	Sold (part)	10/24/14	J	A	
102.					Buy (add'l)	02/12/14	J		

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103. Apple Inc Stock, AAPL	A	Dividend	K	T					
104. Powershares Water Resources FD, PHO (Y)									
105. Emigrant Direct Savings Account	A	Interest	K	T					
106. Bank of America Checking Account	A	Interest	K	T					
107. Chase Checking Account	A	Interest	J	T					
108. TD Ameritrade Cash Account	A	Interest	K	T					
109. Vanguard FTSE Social Index	A	Dividend	L	T	Sold (part)	10/01/14	N	A	
110. Vanguard Target Retirement 2040	D	Dividend	N	T	Buy (add'l)	10/01/14	M		
111. Vanguard Target Retirement 2020	C	Dividend	M	T	Buy (add'l)	10/01/14	M		

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Nathan, Alison J.

Date of Report

11/24/2015

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Nathan, Alison J.

Date of Report

11/24/2015

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/ 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
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One Columbus Circle, N.E.
Washington, D.C. 20544