

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) Nathan, Alison J.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 12/15/2014
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 01/01/2013 to 12/31/2013
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. 2013	Salary
2. 2013	
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.				
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.	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	J	T	Buy	11/21/13	J		
2. American Century Diversified Bond Fund, ADFX	A	Dividend	J	T	Sold (part)	04/08/13	J	A	
3.					Sold (part)	08/21/13	J	A	
4. American Centruy Short, APOIX	A	Dividend	J	T	Sold (part)	02/04/13	J	A	
5.					Sold (part)	04/08/13	J	A	
6.					Sold (part)	06/28/13	J	A	
7. Arbitrage Funds CL I, ARBNX	A	Dividend			Sold	11/25/13	J	A	
8. Blackrock Global Allocation, MDLOX (Y)									
9. Blackrock Global Long Short Credit Fund BGCTX	A	Dividend	J	T	Buy	06/28/13	J		
10.					Buy (add'l)	08/21/13	J		
11.					Sold (part)	09/06/13	J	A	
12.					Buy (add'l)	11/08/13	J		
13.					Sold (part)	11/21/13	J		
14. BlackRock Latin America, MALTX	A	Dividend			Sold	04/08/13	J	A	
15. Delaware National High Yield Muni Bond DVHIX	A	Dividend	J	T	Buy	11/25/13	J		
16. Delaware Select Growth, VAGGX	A	Dividend			Sold	06/28/13	J	A	
17. Dreyfus Appreciation DGAGX	A	Dividend			Sold	04/08/13	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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. Dreyfus IntL Stock, DISRX (Y)									
19. Dreyfus Laurel Funds DSTRX	A	Dividend			Buy	09/06/13	J		
20.					Sold	11/25/13	J	A	
21. Eaton Vance Diversified Currency Income Fund EIMX	A	Dividend			Buy	04/08/13	J		
22.					Sold (part)	06/28/13	J	A	
23.					Sold	08/21/13	J	A	
24. Eaton Vance Floating Rate Fund EIBLX	A	Dividend	J	T	Sold (part)	04/08/13	J	A	
25.					Buy (add'l)	06/28/13	J		
26.					Buy (add'l)	11/08/13	J		
27.					Buy (add'l)	11/22/13	J		
28. Eaton Vance Floating, EIFAX	A	Dividend	J	T	Sold (part)	11/25/13	J	A	
29. Eaton Vance Tax Adv Bond, EIBSX	A	Dividend			Sold (part)	11/08/13	J	A	
30.					Sold	11/25/13	J	A	
31. FBR Balanced Fund, AFBA (Y)									
32. Fidelity Advantage Floating, FFRIX (Y)									
33. Fidelity Advisor Biotechnology Fund FBTIX	A	Dividend	J	T	Buy	11/21/13	J		
34. Fidelity Advisor Industrials Fund FCLIX	A	Dividend	J	T	Buy	11/21/13	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	
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35. Fidelity Advisor Materials Fund FMFEX	A	Dividend	J	T	Buy	11/08/13	J		
36.					Buy (add'l)	11/22/13	J		
37. Fiduciary/Clay MLP Opp FMO	A	Dividend	J	T	Buy	11/13/13	J		
38. First Eagle Gold Fund FEGIX	A	Dividend			Buy	04/08/13	J		
39.					Sold	06/28/13	J	A	
40. Hennessy Equity Fund, HEIFX (Y)									
41. Invesco Balanced Risk, ABRYX	A	Dividend	J	T	Buy (add'l)	02/04/13	J		
42.					Buy (add'l)	04/08/13	J		
43.					Sold (part)	11/08/13	J	A	
44.					Sold (part)	11/25/13	J	A	
45. Invesco Convertible Fund CNSDX	A	Dividend			Buy	09/06/13	J		
46.					Sold	11/25/13	J	A	
47. Ishares US Consumer Goods EFT IYK	A	Dividend	J	T	Buy	11/13/13	J		
48.					Sold (part)	11/25/13	J	A	
49. Ivy Global Natural Resources, IGNAX (Y)									
50. Janus Short Term Bond, JSHIX	A	Dividend			Sold	11/08/13	J	A	
51. Kayne Anderson MLP	A	Dividend	J	T	Buy	11/13/13	J		

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52. Loomis Sayles Core Plus, NERYX	A	Dividend			Sold (part)	02/04/13	J	A	
53.					Sold (part)	04/08/13	J	A	
54.					Sold (part)	09/06/13	J	A	
55.					Buy (add'l)	04/08/13	J		
56.					Buy (add'l)	09/06/13	J		
57.					Sold	11/21/13	J	A	
58. Loomis Sayles Invst Grade, LSIHX	A	Dividend			Sold (part)	02/04/13	J	A	
59.					Sold (part)	04/08/13	J	A	
60.					Sold	09/06/13	J	A	
61. Lord Abbott Short, LDLFX	A	Dividend	J	T	Sold (part)	04/08/13	J	A	
62.					Sold (part)	06/28/13	J	A	
63.					Buy (add'l)	11/08/13	J		
64.					Sold (part)	11/08/13	J	A	
65.					Sold (part)	11/21/13	J	A	
66. Mainstay High Yield, MYHIX	A	Dividend	J	T	Buy (add'l)	11/08/13	J		
67.					Sold (part)	11/21/13	J	A	
68. Mainstay Large CAP Growth (Y)									

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69. Mainstay Marketfield, MFLDX	A	Dividend	J	T	Buy (add'l)	04/08/13	J		
70.					Buy (add'l)	06/28/13	J		
71.					Buy (add'l)	08/21/13	J		
72.					Buy (add'l)	11/08/13	J		
73.					Sold (part)	11/08/13	J	A	
74.					Sold (part)	11/21/13	J	A	
75. MainStay UnConstrained Bond Fd MSDIX	A	Dividend			Buy	11/08/13	J		
76.					Sold	11/25/13	J		
77. MFS Emerging Markets, MEDIX	A	Dividend			Buy (add'l)	04/08/13	J		
78.					Sold	06/28/13	J	A	
79. MFS Munii Limited, MTLIX	A	Dividend	J	T	Sold (part)	11/08/13	J	A	
80.					Sold (part)	11/25/13	J	A	
81. MFS Utilities FD CL 1, MMUIX	A	Dividend	J	T	Sold (part)	04/08/13	J	A	
82.					Buy (add'l)	11/21/13	J		
83. Neuberger Berman Absol Rtrn Multi Mgr Fd NABIX	A	Dividend	J	T	Buy	09/06/13	J		
84.					Buy (add'l)	11/08/13	J		
85.					Buy (add'l)	11/21/13	J		

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86. Neuberger Berman Equity, NBHIX	A	Dividend			Sold	11/08/13	J		
87. Neuberger Berman Multi Cap Opp fund NMULX	A	Dividend	J	T	Buy	11/08/13	J		
88.					Buy (add'l)	11/21/13	J		
89. Neuberger Berman Strategy, NSTLX	A	Dividend	J	T	Buy (add'l)	04/08/13	J		
90.					Sold (part)	06/28/13	J	A	
91.					Sold (part)	11/08/13	J	A	
92.					Sold (part)	11/25/13	J	A	
93. Nuveen Global, FGIYX	A	Dividend	J	T	Buy (add'l)	04/08/13	J		
94.					Buy (add'l)	11/21/13	J		
95. Oppenheimer Gold OGMYYX	A	Dividend			Sold (part)	04/08/13	J	A	
96.					Buy (add'l)	09/06/13	J		
97.					Sold	11/25/13	J		
98. Pimco All Asset All Authority, PAUPX	A	Dividend	J	T	Buy (add'l)	09/06/13	J		
99.					Sold (part)	11/08/13	J	A	
100. Pimco Fundamental Indexplus AR Fund	A	Dividend	J	T	Buy	04/08/13	J		
101.					Sold (part)	11/08/13	J	A	
102. Pimco Global Multi, PGAPX	A	Dividend	J	T	Sold (part)	04/08/13	J	A	

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103. Pimco Income Fund Class P PONPX	A	Dividend			Buy	11/08/13	J		
104.					Sold	11/25/13	J	A	
105. Pimco Real Estate Real Return Strategy Fund Class PETPX	A	Dividend			Buy	04/08/13	J		
106.					Sold	09/11/13	J		
107. Powershares DYN Oil and Gas, PXJ	A	Dividend	J	T	Sold (part)	04/10/13	J	A	
108. Prudential Short duration High Yield Income Fd HYSZX	A	Dividend			Buy	11/08/13	J		
109.					Sold	11/25/13	J	A	
110. Robeco BP Long Short, BPLSX	A	Dividend	J	T	Buy (add'l)	04/08/13	J		
111.					Buy (add'l)	11/08/13	J		
112. Robeco BL Long short Research BPIRX	A	Dividend	J	T	Buy	11/25/13	J		
113. RS Floating Rate Fund, RSFYX	A	Dividend	J	T	Buy (add'l)	04/08/13	J		
114.					Buy (add'l)	06/28/13	J		
115.					Sold (part)	09/06/13	J	A	
116.					Buy (add'l)	11/22/13	J		
117. RS Global Natural, RSNYX	A	Dividend	J	T	Buy (add'l)	02/04/13	J		
118.					Sold (part)	04/08/13	J	A	
119.					Sold (part)	11/08/13	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 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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 ~\$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 ~More than \$50,000,000 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)
120. SPDR KBW Regional Banking EFT KRE	A	Dividend	J	T	Buy	07/02/13	J		
121.					Sold (part)	11/25/13	J	A	
122. Sunamerica Alternative, SUNWX (Y)									
123. Sunamerica Focused, FDSAX	A	Dividend	J	T	Buy (add'l)	09/13/13	J		
124. SunAmerica Focused Dividend Strategy FDSWX	A	Dividend	J	T	Sold (part)	10/09/13	J		
125.					Buy (add'l)	11/21/13	J		
126. T Rowe Price Capital Appreciation Fd Retail PRWCX	A	Dividend	J	T	Buy	11/08/13	J		
127.					Buy (add'l)	11/21/13	J		
128. Templeton Frontier FFRZX	A	Dividend	J	T	Buy	11/21/13	J		
129. Templeton Gbl Bond Fund, TGBAX	A	Dividend	J	T	Buy (add'l)	02/04/13	J		
130.					Buy (add'l)	04/08/13	J		
131.					Sold (part)	06/28/13	J	A	
132.					Sold (part)	11/21/13	J	A	
133. The Merger Fund, MERFX	A	Dividend			Sold (part)	04/08/13	J	A	
134.					Sold	11/25/13	J	A	
135. The Oakmark Intl Fund	A	Dividend	J	T	Buy	02/04/13	J		
136.					Buy (add'l)	04/08/13	J		

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)
137.					Buy (add'l)	06/28/13	J		
138.					Sold (part)	11/08/13	J	A	
139.					Sold (part)	11/21/13	J	A	
140. Touchstone Sands Capital Select Growth Fund CFSIX	A	Dividend	J	T	Buy	06/28/13	J		
141.					Buy (add'l)	07/16/13	J		
142.					Buy (add'l)	09/11/13	J		
143.					Sold (part)	10/09/13	J	A	
144.					Buy (add'l)	11/21/13	J		
145. Vanguard Energy ETF VDE	A	Dividend	J	T	Buy	11/25/13	J		
146. Virtus Permium Alpha, VAPIX	A	Dividend			Sold (part)	04/08/13	J	A	
147.					Sold	06/28/13	J	A	
148. Wells Fargo Absolute Return Fd WARDX	A	Dividend	J	T	Buy	04/08/13	J		
149.					Buy (add'l)	11/08/13	J		
150.					Sold (part)	11/21/13	J	A	
151. Yacktman Fund CL Service, YACKX	A	Dividend	J	T	Buy (add'l)	11/08/13	J		
152.					Buy (add'l)	11/21/13	J		
153.					Sold (part)	11/21/13	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 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)
154. Apple Inc Stock, AAPL	A	Dividend	K	T					
155. Powershares Water Resources FD, PHO (Y)									
156. Emigrant Direct Savings Account	A	Interest	K	T					
157. Bank of America Checking Account	A	Interest	J	T					
158. Chase Checking Account	A	Interest	J	T					
159. TD Ameritrade Cash Account	A	Interest	K	T					
160. Vanguard FTSE Social Index	A	Dividend	L	T	Buy (add'l)	12/31/13	J		
161. Vanguard Target Retirement 2040	C	Dividend	N	T	Buy (add'l)	03/31/13	J		
162.					Buy (add'l)	06/30/13	J		
163.					Buy (add'l)	09/30/13	J		
164.					Buy (add'l)	12/31/13	J		

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

The Eaton Vance Floating Rate Fund EIBLX and SunAmerica Focused Dividend Strategy FDSWX were initially purchased in 2012 and mistakenly omitted from the 2012 report.

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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/ 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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