

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/10/2017
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 01/01/2016 to 12/31/2016
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.	Trustee	Trust #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. 1996	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.)*

<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. 2016	Group Hospitalization and Medical Services, Inc. (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. Federal Bar Association	03/03/16-03/04/16	Washington, DC	Tax Conference	Train, meal, lodging
2. National Conference of Bankruptcy Judges	03/14/16-03/15/16	Ft. Worth, TX	National Conference of Bankruptcy Judges Mid-year meeting	Air fare, meals, lodging
3. NY Institute of Credit and American Bankruptcy Institute	05/05/16-05/06/16	Mashantucket, CT	10th Annual Credit and Bank Symposium	Travel, meals, lodging
4. ABI	10/06/16-10/07/16	Washington, DC	ABI Views from the bench	Train, meals, lodging
5. National Conference of Bankruptcy Judges	10/26/16-10/9-16	San Francisco, CA	Annual Meeting	Air fare, meals, lodging

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6.	ABI	12/01/16-12/03/16	Palos Verdes, CA	Winter Leadership Conference	Travel, meals, lodging
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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.	Federal subsidized student loans through University of Notre Dame (Stafford and Perkins loans)	College loans for student #1	J
2.	Federal subsidized student loans through Bowdoin College (Stafford and Perkins loans)	College loans for student #2	J
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 I (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. Chase Bank (various accounts)	A	Interest	L	T					
2. U.S. Savings Bonds	A	Int./Div.	J	W					
3. Baker Hostetler 401k (H)									
4. Fidelity Growth Co. K.	C	Int./Div.	L	T					
5. Spartan 500 Index Inst	A	Int./Div.	K	T					
6. TRP Div. Growth	B	Int./Div.	K	T					
7. Carefirst BlueCross BlueShield 401k (H)									
8. Fid. Dividend Gr, K	B	Int./Div.	M	T					
9. Artisan Mid Cap Inv	D	Int./Div.	L	T					
10. Fidelity Freedom K	D	Int./Div.	N	T					
11. Life Insurance (H)									
12. Northwestern Mutual Life Insurance Policy #1	A	Int./Div.	J	T					
13. Northwestern Mutual Life Insurance Policy #2	A	Int./Div.	J	T					
14. NY State 529 Plan #1 (H)									
15. Mid Cap Stock Index Portfolio		None	J	T					
16. Growth Stock Index Portfolio		None	J	T					
17. Small Cap Stock Index Portfolio		None	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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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. Aggressive Growth Portfolio		None	J	T					
19. NY State 529 Plan #2 (H)									
20. Mid Cap Stock Index Portfolio		None	K	T					
21. Growth Stock Index Portfolio		None	K	T					
22. Small Cap Stock Index Portfolio		None	K	T					
23. Aggressive Growth Portfolio		None	K	T					
24. NY State 529 Plan #3 (H)									
25. Mid Cap Stock Index Portfolio		None	K	T					
26. Growth Stock Index Portfolio		None	K	T					
27. Small Cap Stock Index Portfolio		None	K	T					
28. Aggressive Growth Portfolio		None	K	T					

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

Trust #1 (Y) and Trust #2 are estate planning vehicles and do not contain reportable assets.

Part VII, line 12: Whole life policy (Adjustable Complife); no underlying investments.

Part VII, line 12: Non-term policy with cash value (65 Life); no underlying investments.

Part VII, lines 14-18 of the 2015 report reflected a composite of three separate 529 accounts. For 2016, the accounts are identified separately on lines 14-18, 19-23, and 24-28. These accounts report only unit value, and do not allocate income or dividends to individual assets, therefore they generate no reportable income, per page 40 of the filing instructions. These investments are specific to the NY State 529 Plan.

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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
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