AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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)	2. Court or Organization	3. Date of Report
Nathan, Alison J.	United States Court of Appeals for the Second Circuit	05/12/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Circuit Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2022 **to** 12/31/2022
7. Chambers or Office Address		
Thurgood Marshall United States Courthouse 40 Centre 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.	Advisor on the Restatement of the Law, Copyright Project	American Law Institute
2.	Adjunct Professor (part time)	NYU School of Law
3.	Senior Lecturing Fellow	Duke University School of Law
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.		

Name of Person Reporting	Date of Report
Nathan, Alison J.	05/12/2023

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.	2022	NYU School of Law (teaching income)	$21,500.00
2.	2022	Duke University School of Law (teaching income)	$4,687.50
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.	2022	NYU School of Law (salary)
2.	2022	Namati Inc, Legal Empowerment Learning Agenda (honorarium/consulting: $2,000)
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.	Duke University School of Law	November 16, 2022	Durham, NC	Teaching	Transportation
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.	Dept. of Education/FedLoan Servicing	Student Loans	None
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Nathan, Alison J.	05/12/2023

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Emigrant Direct (cash)	A	Interest	K	T					
3. Bank of America (cash)		None	K	T					
4. Chase (cash)	A	Interest	L	T					
5. Account #1 (H)									
6. Vanguard Total Bond Market Index Adm Cl (VBTLX)	A	Dividend	K	T					
7. Vanguard Total Bond Market ETF (BND)	A	Dividend	K	T					
8. Vanguard Total Intl Stock Index Fund ETF (VXUS)	B	Dividend	L	T					
9. Vanguard Total Intl Bond Index ETF (BNDX)	A	Dividend	K	T					
10. Account #2 (H)									
11. Vanguard Inst Index Plus (VIIIX)	D	Dividend	M	T					
12. Vanguard Target Retirement 2020 (VTWNX)	E	Dividend	N	T					
13. Vanguard Target Retirement 2040 (VFORX)	E	Dividend	O	T	Buy (add'l)	01/03/22	J		
14.					Buy (add'l)	02/01/22	J		
15.					Buy (add'l)	03/01/22	J		
16.					Buy (add'l)	04/01/22	J		
17.					Buy (add'l)	04/29/22	J		

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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Nathan, Alison J.	05/12/2023

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	06/01/22	J		
19.					Buy (add'l)	07/01/22	J		
20.					Buy (add'l)	08/01/22	J		
21.					Buy (add'l)	09/01/22	J		
22.					Buy (add'l)	09/30/22	J		
23.					Buy (add'l)	11/01/22	J		
24.					Buy (add'l)	12/01/22	J		
25.	Account #3 (H)								
26.	Vanguard Federal Money Market (cash eq.)	A	Dividend	J	T	Buy	10/05/22	J		
27.						Sold (part)	10/06/22	J		
28.	Primecap Odyssey Growth Fund CL (POGRX)		None			Sold	10/04/22	J	A	
29.	Vanguard Total Intl Stock Index Fund ETF (VXUS)	A	Dividend	J	T	Buy (add'l)	10/04/22	J		
30.	Vanguard Total Stock Market ETF (VTI)	B	Dividend	L	T					
31.	Vanguard Value ETF (VTV)	A	Dividend	J	T					
32.	Invesco S&P 500 Equal Weight Tech ETF (RYT)	A	Dividend	J	T					
33.	Account #4 (H)									
34.	Primecap Odyssey Growth Fund (POGRX)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
B =$1,001 - $2,500
C =$2,501 - $5,000
D =$5,001 - $15,000
E =$15,001 - $50,000
F =$50,001 - $100,000
G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
P1 =$1,000,001 - $5,000,000
P2 =$5,000,001 - $25,000,000
P3 =$25,000,001 - $50,000,000
P4 =More than $50,000,000

3. Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
T =Cash Market
U =Book Value
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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
35. Vanguard Growth ETF (VUG)	A	Dividend	J	T					
36. Vanguard S&P 500 Index ETF (VOO)	A	Dividend	K	T					
37. Vanguard Total Stock Market ETF (VTI)	A	Dividend	L	T					
38. Account #5 (H)									
39. TD Bank (cash) (X)	A	Interest	J	T					
40. Apple Inc Stock (AAPL)	B	Dividend	M	T					
41. Account #6 (H)									
42. NY 529 Aggressive Age-Based Option: Moderate Growth		None	L	T	Buy	08/08/22	L		
43. NY 529 Aggressive Age-Based Option: Blended Growth Portfolio		None			Sold	08/08/22	L		
44. Account #7 (H)									
45. Vanguard Target Enrollment 2026/27 Portfolio		None	L	T					
46. Account #8 (H)									
47. NY 529 Aggressive Age-Based Option: Moderate Growth		None	L	T	Buy	08/08/22	L		
48. NY 529 Aggressive Age-Based Option: Blended Growth		None			Sold	08/08/22	L		
49. Account #9 (H)									
50. Vanguard Target Enrollment 2026/27		None	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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 45 of the filing instructions.

Part III-B: Honorarium is the term used by the payor. This payment covered consultancy-like services performed throughout the year.

Name of Person Reporting	Date of Report
Nathan, Alison J.	05/12/2023

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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