AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Failla, Katherine P.	Southern District of New York	5/16/2022
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**
District Judge (active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Thurgood Marshall U.S. Courthouse 40 Foley Square, Room 2103 New York, New York 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Failla, Katherine P.	5/16/2022

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	Proskauer Rose LLP (partnership draw)
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Failla, Katherine P.	5/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. Northwestern Mutual Whole Life Policy	E	Int./Div.	N	T					
2. Northwestern Mutual Whole Life Policy	D	Int./Div.	M	T					
3. Wells Fargo Cash Equivalent Account	A	Interest	J	T					
4. Merrill Lynch Bank Deposit Program	A	Interest	J	T					
5. Intel Corp Common Stock	A	Dividend	J	T					
6. Pfizer Inc. Common Stock	B	Dividend	K	T					
7. P&G Common Stock	B	Dividend	K	T					
8. Microsoft Corp. Common Stock	B	Dividend	K	T					
9. Hennessy Select Large Value Fund	A	Dividend	J	T					
10. T. Rowe Price Equity Income Fund	A	Dividend	K	T					
11. Invesco Asia Pacific Growth Fund	A	Dividend	J	T					
12. Gabelli Gamco Growth Fund	A	Dividend	J	T					
13. Vanguard Equity Income Fund	A	Dividend	K	T					
14. Vanguard European Stock Index Fund	A	Dividend	J	T					
15. Vanguard NY Long Term Tax-Exempt Investor Fund	A	Dividend	K	T					
16. IRA #1									
17. - Invesco Van Kampen Comstock Fund	C	Dividend	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		

Name of Person Reporting	Date of Report
Failla, Katherine P.	5/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
18. - Invesco Van Kampen Small Cap Value Y Fund	A	Dividend	K	T					
19. - Morgan Stanley U.S. Government Securities Fund	A	Dividend	J	T					
20. - MS Short Duration Inc. I Fund (fka MS Inst. Ltd. Dur. I)	A	Dividend	J	T					
21. IRA #2									
22. - T. Rowe Price Retirement 2025 Fund	D	Dividend	M	T					
23. - Touchstone Small Cap Fund (fka Buffalo Small Cap Fund)	C	Dividend	K	T					
24. - JP Morgan Emerging Markets Equity Inst. Fund	B	Dividend	L	T					
25. - Schwab Retirement Advantage Money Fund	A	Dividend	K	T					
26. IRA #3									
27. - T. Rowe Price Retirement 2025 Fund	C	Dividend	K	T					
28. - T. Rowe Price Retirement 2030 Fund	D	Dividend	M	T					
29. - Touchstone Small Cap Fund (fka Buffalo Small Cap Fund)	A	Dividend	J	T					
30. - JP Morgan Emerging Markets Equity Inst. Fund	A	Dividend	J	T					
31. - Schwab Retirement Advantage Money Fund	A	Dividend	J	T					
32. IRA #4									
33. - Vanguard Federal Money Market Fund	A	Dividend	M	T					
34. - Vanguard Windsor II Fund	D	Dividend	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	
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35. - Vanguard 500 Index Fund (Admiral Shares)	B	Dividend	L	T					
36. - Vanguard U.S. Growth Fund (fka Vanguard Morgan Growth Fund)	C	Dividend	L	T					
37. IRA #5									
38. - Vanguard Federal Money Market Fund	A	Dividend	K	T					
39. - Vanguard Growth Equity Fund	A	Dividend	J	T					
40. - Vanguard PRIMECAP Fund (Admiral Shares)	D	Dividend	M	T					
41. - Vanguard Target Retirement 2015 Fund	C	Dividend	L	T					
42. - Vanguard Wellington Fund	C	Dividend	L	T					
43. - Vanguard Windsor II Fund	D	Dividend	L	T					
44. - Vanguard 500 Index Fund	B	Dividend	L	T					
45. IRA #6									
46. - Putnam Income (fka RCM Mid Cap Fund)	A	Dividend	J	T					
47. - Alliance Bernstein Sustainable Global (fka AB Glob. Them. Growth)	A	Dividend	J	T					
48. - Blackrock Unconstrained Fund (fka Blackrock Long Horizon Fund)	A	Dividend	K	T					
49. - Davis NY Venture Fund	A	Dividend	K	T					
50. - Putnam Int'l Equity Fund	A	Dividend	K	T					
51. - Putnam Income Fund Class A (fka Putnam Investors Fund)	A	Dividend	J	T					

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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	
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52. - Putnam Growth Fund	A	Dividend	K	T					
53. Citibank Accounts	A	Interest	K	T					
54. Proskauer Rose Capital Account	D	Interest	N	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ Katherine P. Failla

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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