

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) Swain, Laura T.	2. Court or Organization US District Court - SDNY	3. Date of Report 08/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge (Active)	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 Daniel Patrick Moynihan U.S. Courthouse 500 Pearl Stret Suite 1640 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board Member	Havens Relief Fund Society
2.	Trustee	Trust No. 1
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.		
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. 2016	Benjamin N. Cardozo Law School - Teaching	\$14,875.00
2. 2016	Aspen Institute - Compensation for teaching/facilitating multi-session seminar	\$2,000.00
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	██████████ - Salary and bonus
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. Aspen Institute	7/2-7/11/2016	Aspen, CO	Teach/facilitate Justice & Society Seminar	Transportation, Food, Lodging
2. Just the Beginning-A Pipeline Organization	9/15-9/18-2016	New York, NY	Lead/participate in educational programs and conference	Food, Lodging, Local Transportation
3. National Conference of Bankruptcy Judges	10/26-30-2016	San Francisco, CA	Speak at conference educational program	Transportation, Lodging
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.)*

<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.		
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. HSBC Bank - account	B	Interest	L	T					
2. Charles Schwab Rollover IRA (H)									
3. - Schwab Cash Reserves Sweep Shares	A	Dividend	J	T	Sold (part)	01/14/16	J		
4. - "					Sold (part)	02/08/16	J		
5. - "					Buy (add'l)	02/12/16	J		
6. - "					Sold (part)	12/19/16	J		
7. - iShares Bond ETF Agency Bond (AGZ)	A	Dividend	J	T					
8. - Powershares Senior Loan ETF (BKLYN)	A	Dividend	J	T	Buy	10/24/16	J		
9. - Deutsch X Trks MSCI EAFEHDG EQY ETF (DBEF)	A	Dividend			Sold (part)	04/20/16	J		
10. - "					Sold	06/30/16	J		
11. - Wisdomtree Japan Hedged Equity ETF (DXJ)	A	Dividend	J	T	Buy	12/14/16	J		
12. - iShares China Large-Cap ETF (FXI)		None			Sold	02/03/16	J		
13. - PIMCO ETF 0-5 YR High Yield Corp Bond Index Exchange (HYS)	A	Dividend			Sold	06/30/16	J	A	
14. - iShares 7-10 YR TRSURYBOND ETF (IEF)	A	Dividend	J	T	Buy	06/30/16	J		
15. - "					Sold (part)	12/14/16	J		
16. - iShares TR Bond 3-7 Yr Treas Bond ETF (IEI)	A	Dividend	J	T	Buy	06/30/16	J		
17. - iShares ETF Core MSCI Emerging Mkts (IEMG)	A	Dividend	J	T	Buy	02/03/16	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 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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	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 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)

18. - iShares TR Russell 1000 ETF (IWB)	A	Dividend	K	T	Buy	02/10/16	J		
19. - iShares Russell Microcap ETF (IWC)	A	Dividend	J	T					
20. - iShares Tr Russell 2000 ETF (IWM)	A	Dividend	K	T	Buy	01/11/16	J		
21. - SPDR Barclays ETF High Yld Very Liquid Index (JNK)	A	Dividend	J	T					
22. - iShares IBOXX Investment Grade Corporate Bond ETF (LQD)	A	Dividend	J	T					
23. - Powershares DB Optm Yld Dvrsfd Strtg ETF (PDBC)	A	Dividend	J	T	Sold (part)	04/06/16	J		
24. - SPDR Dow Jones REIT (RWR)	A	Dividend	J	T	Sold (part)	01/11/16	J		
25. - "					Sold (part)	12/14/16	J		
26. - iShares Trust MSCI EAFE Small-Cap ETF (SCZ)	A	Dividend	J	T					
27. - Highland IBOXX ETF Senior Loan (SNLN)	A	Dividend			Sold (part)	06/30/16	J	A	
28. - "					Sold	10/24/16	J		
29. - Flexshares Exg Trd FD IBOXX 5 yr TGT Dur TIPS Index Fund (TDTF)	A	Dividend	J	T					
30. - iShares TIPS Bond ETF (TIP)	A	Dividend	J	T	Buy	06/30/16	J		
31. - iShares MSCI ETF Minimum Volatility (USMV)	A	Dividend	J	T	Buy	02/03/16	J		
32. - "					Buy (add'l)	04/20/16	J		
33. - "					Buy (add'l)	06/30/16	J		
34. - Vanguard FTSE ETF Dev Mkts (VEA)	B	Dividend	K	T	Buy	01/11/16	J		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

35. - Vanguard Mtrg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	K	T	Buy	01/11/16	K		
36. - Sector SPDR Fincl SelectShares of Beneficial Int (XLF)	A	Dividend			Sold	06/30/16	J	A	
37. - Sector SPDR Consumer FD Shares of Beneficial Int (XLY)		None			Sold	02/10/16	J		
38. [REDACTED] 401(k) Plan (H)									
39. -Vanguard Mid-Cap Index Fund	A	Dividend	K	T					
40. - Vanguard Total Stock Mkt Index Fund	B	Dividend	L	T					
41. -American Funds Growth Fund	A	Dividend	J	T					
42. - American Funds New Perspective	A	Dividend	J	T					
43. - American Funds Bond Fund Am	A	Dividend	K	T					
44. - Eagle Small Cap Growth Fund	A	Dividend	J	T					
45. - JP Morgan Equity Income Fund	B	Dividend	L	T					
46. - Neuberger Berman High Inc. Bond Fund	A	Dividend	K	T					
47. - Voya Fixed Account	B	Interest	K	T					
48. [REDACTED] Corporation Profit Sharing Plan		None	K	T					
49. [REDACTED] Corp. Employees Stock Ownership Plan		None	K	T					
50. Citibank interest bearing accounts	A	Interest	K	T					
51. Citibank Rollover IRA (H)									

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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52. -FDIC insured deposits	A	Interest			Closed	10/12/16	J		
53. - Dreyfus Liquid Assets C1 2 (Money Market) (X)	A	Interest			Sold	10/06/16	J		
54. - Western Asset Instl Govt MMF	A	Interest	J	T	Buy	10/06/16	J		
55. - "					Buy (add'l)	11/09/16	J		
56. - "					Buy (add'l)	12/30/16	J		
57. -Vanguard Bd Index Fd Inc Total Bd Market ETF (BND)	A	Dividend	J	T	Buy (add'l)	03/01/16	J		
58. - "	A	Distribution			Buy (add'l)	04/12/16	J		
59. Vanguard Charlotte Funds Total Intl Bd Index Fund ETF (BNDX)	A	Dividend	J	T	Sold (part)	03/01/16	J	A	
60. - "					Buy	04/12/16	J		
61. - Deutsche X-Trackers MCSI EAFE Hedged Equity ETF (DBEF)	A	Dividend			Sold	08/04/16	J		
62. - iShares Tr JP Morgan USD Emerging Mkts Bd ETF (EMB)	A	Dividend	J	T					
63. -iShares TR Russell 1000 Value ETF (IWD)	A	Dividend	K	T	Buy	03/01/16	J		
64. - "					Sold (part)	04/12/16	J		
65. -					Sold (part)	08/04/16	J	A	
66. -iShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	J	T	Buy	03/01/16	J		
67. - "					Sold (part)	04/12/16	J	A	
68. -iShares TR Russell 2000 Value ETF (IWN)	A	Dividend	J	T	Sold (part)	03/01/16	J		

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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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☐ 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)
69. -iShares TR Russell 2000 Growth ETF (IWO)	A	Dividend	J	T	Sold (part)	03/01/16	J		
70. -SPDR SER TR Barclays High Yield Bond ETF (JNK)	A	Dividend	J	T					
71. PIMCO ETF TR Enhanced Short Mat ETF (MINT)	A	Dividend			Buy	08/04/16	J		
72. -"					Sold	11/03/16	J	A	
73. iShares MSCI USA Minimum Volatility ETF (USMV)	A	Dividend	K	T	Buy	04/12/16	K		
74. -Vanguard TaxManaged Intl Fd FTSE (VEA)	B	Dividend	K	T	Sold (part)	04/12/16	J		
75. -"					Buy	08/04/16	J		
76. -Vanguard Intl Equity Index Fds FTSE (VWO)	A	Dividend	K	T	Sold (part)	04/12/16	J		
77. -"					Buy (add'l)	08/04/16	J		
78. Nationwide Bank CD	A	Interest			Closed	11/22/16	L		
79. Synchrony Bank Deposit Account	A	Interest	L	T	Open	12/29/16	L		

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 \$5,000,000	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

(Part I, line 2) The Trust has no reportable assets.

(Part VII, line 48) The investments of this profit sharing plan are not participant-directed and the positions held by the plan are not reported in the statements issued to participants.

(Part VII, line 49) The investments of this ESOP, which was established in 2009, are not participant-directed. The information reported is the most recent available information, which is as of 12/31/2015.

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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/ **Laura T. Swain**

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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Washington, D.C. 20544