

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Torres, Analisa N.	2. Court or Organization U.S. District Court for the Southern District of New York	3. Date of Report 10/25/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. District Court for the Southern District of New York 500 Pearl 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Chair	WHEDCO-Women's Housing and Economic Development Corporation
2. Member, Board of Visitors	City University of New York Law School
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. 10/19/1992	New York State Local and Retirement System/Defined Benefit Pension Plan
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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. 2015	New York State Local and Retirement System/Defined Benefit Pension Plan	\$48,000.00
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. 2015	Wells Fargo Advisors-salary, commissions 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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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.	Wells Fargo Visa	Credit Card	J
2.	Am Express	Credit Card	K
3.	Chase MC	Credit Card	J
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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. Brokerage Account #1 (H)									
2. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
3. -Ford-F	A	Dividend	K	T					
4. -iShares Dividend Index-DVY	A	Dividend	J	T	Buy	11/20/15	K		
5. -Wisdom Tree Equity Income-DHS	A	Dividend	J	T					
6. -Center Coast MLP Fund-CCCNX	B	Dividend	K	T					
7. -Blackrock High Yield Fund-BHYIX	A	Dividend	J	T					
8. -Delaware High Yield Fund-DHOIX	B	Dividend	K	T	Sold	11/23/15	K		
9. -Artio GBL High Income Fund-JHYIX	A	Dividend	J	T	Sold	05/20/15	K		
10. -MetWest High Yield Fund-MWHIX	A	Dividend	K	T	Sold	01/08/15	K		
11. -Mainstay High Yield Fund-MHYIX	A	Dividend	J	T	Sold	05/20/15	J		
12. -Principal High Yield Fund-PYHPX	A	Dividend	J	T	Sold	11/23/15	K		
13. -Blackrock Credit Alloc Trust-BTZ	A	Dividend	J	T	Sold	11/23/15	J		
14. -Calamos Strategic Fund-CSQ	A	Dividend	J	T					
15. -NFJ Div Int Premium Strat Fund-NFJ	B	Dividend	K	T	Sold	06/23/15	K	C	
16. -Nuveen Pref Inc Fund-JPC	B	Dividend	K	T					
17. -Wells fargo Absolute Return Fund- WARDX	A	Dividend	J	T	Sold	05/20/15	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 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	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 16

Name of Person Reporting

Torres, Analisa N.

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10/25/2016

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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 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. -Apple-AAPL	A	Dividend	J	T					
19. General Electric-GE	E	Dividend	K	T	Buy	06/11/15	K		
20.					Buy	06/11/15	J		
21.					Buy	11/20/15	J		
22. T	B	Dividend	K	T	Buy	01/08/15	K		
23.					Sold	07/17/15	K	A	
24. Banco Santander-BAC					Sold	02/05/15	K		
25.									
26. Brokerage Account #2 (H)									
27. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
28.									
29. Brokerage Account #3 (H)									
30. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
31.									
32. IRA#1 (H)									
33. -Wells Fargo Bank Deposit Sweep	A	Dividend	K	T					
34. -Abbvie-ABBV	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 16

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Torres, Analisa N.

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35. -Altria-MO	A	Dividend	J	T					
36. -Apple-AAPL	B	Dividend	K	T					
37. -Berkshire Hathaway-BRKB	A	Dividend	J	T					
38. -Citigroup-C	A	Dividend	K	T	Sold	12/07/15	K	D	
39. -Enterprise Pdc's Partners-EPD	A	Dividend	K	T	Sold	12/07/15	J	A	
40. -Facebook-FB	A	Dividend	J	T	Buy (add'l)	11/03/15	J		
41. -JPM Chase-JPM	A	Dividend	L	T					
42. -Microsoft-MSFT	A	Dividend	J	T					
43. -Phillips 66-PSX	A	Dividend	J	T					
44. -Philip Morris Intl-PM	A	Dividend	J	T	Sold	02/06/15	J		
45. -Tesla-TSLA		None	J	T	Buy (add'l)	12/30/15	J		
46. AMZN		None	J	T	Buy	12/30/15	J		
47. GOOGL		None	J	T	Buy	12/30/15	J		
48. SFM(X)		None			Sold	06/23/15	J		
49. SAN	A	None	J	T	Buy	06/12/15	J		
50.									
51. IRA #2 (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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

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52. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
53. -Bank of America-BAC	A	Dividend	J	T					
54. -Gilead-GILD		None	J	T	Sold	02/06/15	J		
55. -Polaris Industries, Inc.-PII	A	Dividend	K	T	Sold	02/06/15	K	D	
56. SAN	B	Dividend	K	T	Buy	06/15/15	K		
57.					Sold	12/2/15	K		
58. AMZN		None	J	T	Buy	05/19/15	J		
59.					Sold	07/24/15	J	A	
60. NFLX		None	J	T	Buy	07/16/15	J		
61.					Sold	12/02/15	J	A	
62. TWTR		None	J	T	Buy	04/07/15	J		
63.					Sold	05/08/15	J		
64. WWAV		None	J	T	Buy	05/18/15	J		
65.					Sold	11/03/15	J		
66.									
67. IRA #3 (H)									
68. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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69. -First Eagle-FESGX		None	J	T					
70.									
71. IRA#5 (H)									
72. -ABBV	A	Dividend	J	T					
73. -MO	A	Dividend	J	T					
74. -AEP	A	Dividend	J	T					
75. -T	A	Dividend	J	T					
76. -BMY	A	Dividend	J	T					
77. -CSCO	A	Dividend	J	T					
78. -CAG	A	Dividend	J	T					
79. -COP	A	Dividend	J	T					
80. -DEO	A	Dividend	J	T					
81. -D	A	Dividend	J	T					
82. -DOV	A	Dividend	J	T					
83. -DD	A	Dividend	J	T					
84. -GD	A	Dividend	J	T					
85. -GPC	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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86. -GSK	A	Dividend	J	T					
87. -HCP	A	Dividend	J	T					
88. -HCN	A	Dividend	J	T					
89. -HD	A	Dividend	J	T					
90. -ITW	A	Dividend	J	T					
91. -INTC	A	Dividend	J	T					
92. -IP	A	Dividend	J	T					
93. -JNJ	A	Dividend	J	T					
94. -JPM	A	Dividend	J	T					
95. -KMB	A	Dividend	J	T					
96. -KRFT	A	Dividend	J	T	Sold	03/26/15	J	A	
97. -LMT	A	Dividend	J	T					
98. -MTB	A	Dividend	J	T					
99. -MAT	A	Dividend	J	T					
100. -MXIM	A	Dividend	J	T					
101. -MCD	A	Dividend	J	T					
102. -MCHP	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 16

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103. -MSFT	A	Dividend	J	T					
104. -NEE	A	Dividend	J	T					
105. -PBCT	A	Dividend	J	T					
106. -PEP	A	Dividend	J	T					
107. -PSX	A	Dividend	J	T					
108. -PG	A	Dividend	J	T					
109. -RDS.A	A	Dividend	J	T					
110. -SON	A	Dividend	J	T					
111. -SE	A	Dividend	J	T					
112. -SO	A	Dividend	J	T					
113. -UPS	A	Dividend	J	T					
114. -VZ	A	Dividend	J	T					
115. -VOD	A	Dividend	J	T					
116. -WAG	A	Dividend	J	T					
117. -WM	A	Dividend	J	T					
118. QCOM	A	Dividend	J	T	Buy	09/22/14	J		
119. PFE	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 16

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120. NUE	A	Dividend	J	T					
121.									
122. IRA#6 (H)									
123. -AFL	A	Dividend	J	T					
124. -APD	A	Dividend	J	T					
125. -ADI	A	Dividend	J	T					
126. -ADP	A	Dividend	J	T					
127. -BAX	A	Dividend	J	T	Sold	07/13/15	J		
128. -BDX	A	Dividend	J	T					
129. -CVX	A	Dividend	J	T					
130. -CB	A	Dividend	J	T					
131. -CLX	A	Dividend	J	T					
132. -CL	A	Dividend	J	T					
133. -COP	A	Dividend	J	T					
134. -EV	A	Dividend	J	T					
135. -EMR	A	Dividend	J	T					
136. -FDS	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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. -GIS	A	Dividend	J	T					
138. -GD	A	Dividend	J	T					
139. -GWW	A	Dividend	J	T					
140. -HRS	A	Dividend	J	T					
141. -IBM	A	Dividend	J	T					
142. -SJM	A	Dividend	J	T					
143. -JNJ	A	Dividend	J	T					
144. -K	A	Dividend	J	T					
145. -MCD	A	Dividend	J	T					
146. -MDT	A	Dividend	J	T					
147. -MSFT	A	Dividend	J	T					
148. -NEE	A	Dividend	J	T					
149. -JWN	A	Dividend	J	T					
150. -NSC	A	Dividend	J	T					
151. -NU	A	Dividend	J	T					
152. -NVS	A	Dividend	J	T					
153. -PAYX	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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. -PEP	A	Dividend	J	T					
155. -PSX	A	Dividend	J	T					
156. -PII	A	Dividend	J	T					
157. -PX	A	Dividend	J	T					
158. -PG	A	Dividend	J	T					
159. -SCG	A	Dividend	J	T					
160. -SIAL	A	Dividend	J	T					
161. -SYY	A	Dividend	J	T					
162. -TGT	A	Dividend	J	T					
163. -SO	A	Dividend	J	T					
164. -VFC	A	Dividend	J	T					
165. -WMT	A	Dividend	J	T					
166. -WEC	A	Dividend	J	T					
167. -MMM	A	Dividend	J	T					
168.									
169.									
170. TD Bank Savings Account (H)	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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)
171.									
172. Chase Checking Plus Account (H)	A	Dividend	J	T					
173.									
174. 401K #1 (H)									
175. -Wells Fargo 401k Large Cap Growth Multi-Manager Fund	A	Dividend	J	T					
176. -Wells Fargo 401k LargeCap Value Multi-Manager Fund	A	Dividend	J	T					
177. -Wells Fargo 401k Small Cap Multi-Manager Fund	A	Dividend	J	T					
178. -Lazard Emerging Markets Equity Fund	A	Dividend	J	T					
179. -American Funds EuroPacific Fund	A	Dividend	J	T					
180. -SSGA International Index Fund	A	Dividend	J	T					
181. -Wells Fargo non-ESOP Fund	A	Dividend	K	T					
182.									
183. IRA #4 (H)									
184. -SAN	A	Dividend	J	T	Sold	05/21/15	J		
185. -WARDX	A	Dividend	K	T	Sold	05/21/15	J		
186.									
187.									

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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

Torres, Analisa N.

Date of Report

10/25/2016

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/ **Analisa N. Torres**

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