

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) McKenna, Lawrence M.	2. Court or Organization Southern District of New York	3. Date of Report 01/11/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States District Court 500 Pearl Street (1640) 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. Insert signature on last page.		

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. Administrator	Estate [redacted] [redacted]
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.	
2.	
3.	

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Name of Person Reporting

McKenna, Lawrence M.

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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. 2011	Self-employed (lawyer) ☐
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

NONE (No reportable gifts.)

SOURCEDESCRIPTIONVALUE

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.)

CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

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VII. INVESTMENT

☐

NONE (*No report*)

A.

Description of .
(including trust

Place "(Y)" after e

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Name of Person Reporting

McKenna, Lawrence M.

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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. FIRST ENERGY (Common)	A	Dividend	J	T					
19. KRAFT (Common)	A	Dividend	J	T					
20. LSI LOGIC (Common)		None	J	T					
21. PHILIP MORRIS (Common)	A	Dividend	J	T					
22. ALLIANZ 8.375% BOND	A	Dividend	K	T					
23. UBS PACE GOVT.FIXED INC. (FUND)	A	Interest	J	T					
24. UBS PACE INTER.FIXED INC. (FUND)	A	Interest	J	T					
25. UBS PACE STRATEGIC FIXED INC. (FUND)	A	Interest	J	T					
26. UBS PACE SMALL/MED. VALUE (FUND)		None	J	T					
27. UBS PACE MONEY MARKET (FUND)	A	Interest	J	T					
28. UBS PACE HIGH YIELD (FUND)	A	Interest	J	T					
29. UBS PACE INT'L EQUITY (FUND)		None	J	T					
30. UBS PACE MUNI.FIXED INC. (FUND)	A	Interest	J	T					
31. PACE STRATEGIC FIXED INC. (FUND)	A	Interest	J	T					
32. UBS SMALL/MED CO. GROWTH EQUITY FUND		None	J	T					
33. UBS LARGE CO. VALUE EQUITY FUND		None	J	T					
34. UBS INT'L. EMERG. MARKETS EQUITY FUND		None	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$3,000,000

L = \$50,000 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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VII. INVESTMENT

☐ NONE (*No report*)

A.

Description of A
(including trust a

Place "(X)" after ca

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VIII. ADDITIONAL INFORMATION

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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 _____

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

December 10, 2013

RECEIVED

2013 DEC 17 A 9 43

FINANCIAL
DISCLOSURE OFFICE

Amy Brow
Committee on Financial Disclosure
Judicial Conference of the U.S.
One Columbus Circle, N.E.
Washington D.C. 20544

Re: Lawrence M. McKinney
U.S.D.J. (Inactive status)
S.D. N.Y. Form AO-10
for year 2012

Pursuant to our conversation of a couple of days ago, I enclose a copy of page 6 of 8 of the above-identified Form AO 10. As suggested, I am sending herewith an amended copy of that page in which I have inserted a parenthetical "(X)" in items 42 and 43. This, I understand, satisfies the instructions contained in Judge McKinney's letter to me of January 30, 2013.

I thank you very much for your assistance, and apologize for the delay on my part in resolving this matter, which, as I believe I mentioned, was due to my wife's serious illness which has occupied very much of time since leaving the hospital.

Please let me know if you need

any questions, or if the Committee has any further requirements for resolving the issues raised in Judge McKinley's aforementioned letter.

Very truly yours,

[REDACTED]

[REDACTED]

U.S.D.S. (Enclosure)

P.S. I apologize for having to communicate in long hand and my word but I do not have the capacity to do otherwise

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 14-16 of filing instructions)

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

A. Description of Assets (including trust assets) Place "XX" after each asset except from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or gift)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. UBS GLOBAL FIXED INCOME FUND		None	J	T					
36. DOM. RES. INC. VA BOND		None	K	T					
37. UBS BANK USA DEPOSIT ACCOUNT	A	Interest	K	T					
38. PACE INT'L. EMERGING MARKETS	A	Dividend	J	T					
39. PACE LARGE CO. VALUE (FUND)	A	Dividend	J	T					
40. PACE LARGE CO. GROWTH (FUND)	A	Dividend	J	T					
41. WESTERN ASSET (CLAYMORE FUND)	A	None	J	T					
42. AMERICAN ELECTRIC POWER (BOND) (X)	A	Dividend	K	T	Redeemed	12/19/12	K		
43. NORTHBANK CMTY. BANK (X)	A	Dividend	K	T	Redeemed	08/27/12	K		
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

1. Income/Gain Codes
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$11,000 or less
N = \$230,001 - \$500,000
P1 = \$25,000,001 - \$50,000,000
Q = Appraised
U = Joint Value

B = \$1,001 - \$2,500
G = \$370,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$550,001 - \$1,000,000
R = Certified Share Only
V = Other

C = \$2,501 - \$5,000
M1 = \$1,000,001 - \$2,500,000
L = \$70,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P2 = More than \$50,000,000
S = Securities
W = Encumbered

D = \$5,001 - \$15,000
M2 = More than \$1,000,000
N = \$100,001 - \$250,000
P1 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$12,001 - \$50,000