

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017Report 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 - Southern District of New York	3. Date of Report 08/06/2018
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 01/01/2017 to 12/31/2017
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.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Board Member	Havens Relief Fund Society
2. Trustee	Trust #1
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)☒ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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. 2017	Yeshiva University, Cardozo School of Law (teaching income)	\$2,125.00
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. 2017	██████████, Inc. (salary)
2. 2017	██████████ Corp. (salary and bonus)
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 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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	K	T					
2. Citibank interest bearing accounts	A	Interest	J	T					
3. Synchrony Bank Deposit Account	A	Interest	K	T					
4. [REDACTED] Corporation Profit Sharing Plan (no control)		None			Distributed	08/02/17	K		
5. [REDACTED] Corp. Employees Stock Ownership Plan (no control)	A	Dividend	K	T					
6. IRA #1 (H)									
7. Schwab Cash Reserves Sweep Shares (SWSXX) (cash)	A	Dividend	J	T					
8. Energy Select Sector (XLE)	A	Dividend	J	T	Buy	04/26/17	J		
9. Flexshares Exg Trd FD IBOX 5 yr TGT Dur TIPS Index Fund (TDTF)	A	Dividend	J	T	Buy (add'l)	11/03/17	J		
10. iShares Bond ETF Agency Bond (AGZ)	A	Dividend	J	T					
11. iShares ETF Core MSCI Emerging Mkts (IEMG)	A	Dividend			Sold (part)	01/13/17	J		
12.					Sold	10/11/17	K		
13. iShares MSCI ETF Minimum Volatility (USMV)	A	Dividend	J	T	Sold (part)	04/26/17	J		
14. iShares IBOX Investment Grade Corporate Bond ETF (LQD)	A	Dividend			Sold	11/02/17	J		
15. iShares Russell Microcap ETF (IWC)	A	Dividend			Sold	07/31/17	J		
16. iShares Trust MSCI EAFE Small-Cap ETF (SCZ)	A	Dividend			Sold	11/02/17	J		
17. iShares TR Russell 1000 ETF (IWB)	A	Dividend			Sold (part)	01/13/17	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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.					Sold (part)	05/30/17	J		
19.					Sold (part)	07/31/17	J		
20.					Sold	10/11/17	K		
21. IShares Tr Russell 2000 ETF (IWM)	A	Dividend			Sold (part)	01/13/17	J		
22.					Sold	11/02/17	K		
23. IShares TIPS Bond ETF (TIP)	A	Dividend	J	T					
24. IShares TR Bond 3-7 Yr Treas Bond ETF (IEI)	A	Dividend			Sold	11/02/17	J		
25. IShares 7-10 YR TRSURYBOND ETF (IEF)	A	Dividend	J	T	Sold (part)	05/30/17	J		
26. Powershares Senior Loan ETF (BKLN) (formerly BKLYN)	A	Dividend	J	T					
27. Powershares DB Optm Yld Dvrsfd Strtg ETF (PDBC)	A	Dividend	J	T					
28. ROBO Gbl Rbotcs And Automatn Indx (ROBO)	A	Dividend	J	T	Buy	07/31/17	J		
29. SPDR Barclays ETF High Yld Very Liquid Index (JNK)	A	Dividend	J	T					
30. SPDR Dow Jones REIT (RWR)	A	Dividend	J	T	Sold (part)	04/26/17	J		
31. SPDR Euro STOXX 50 ETF (FEZ)	A	Dividend	J	T	Buy	05/30/17	J		
32. SPDR Intrmdt Trm Crprate Bnd ETF (IWM)	A	Dividend	J	T	Buy	11/02/17	J		
33. SPDR Small Cap ETF (SPSM)	A	Dividend	K	T	Buy	11/02/17	K		
34. Vanguard FTSE ETF Dev Mkts (VEA)	B	Dividend	L	T	Buy (add'l)	11/02/17	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 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 6 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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)

35. Vanguard FTSE Emerging Mkts (VWO)	A	Dividend	J	T	Buy	10/11/17	J		
36. Vanguard Intermediate Term Gov ETF (VGIT)	A	Dividend	J	T	Buy	11/02/17	J		
37. Vanguard Large Cap ETF (VV)	B	Dividend	L	T	Buy	08/30/17	J		
38.					Buy (add'l)	10/11/17	K		
39. Vanguard Long Term Cor Bd ETF (VCLT)	A	Dividend	J	T	Buy	11/02/17	J		
40. Vanguard Mtrg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	J	T	Buy (add'l)	01/13/17	J		
41.					Sold (part)	07/31/17	J		
42.					Sold (part)	11/02/17	J		
43. Wisdomtree Japan Hedged Equity ETF (DXJ)	A	Dividend			Sold	08/30/17	J		
44. 401(k) Plan (H)									
45. Vanguard Mid-Cap Index Fund (VIMAX)	A	Dividend			Sold	02/22/17	K		
46. Vanguard Total Stock Mkt Index Fund (VTSAX)	B	Dividend			Sold	02/22/17	L		
47. American Funds Growth Fund (RGAGX)	A	Dividend			Sold	02/22/17	J		
48. American Funds New Perspective (ANWPX)	A	Dividend			Sold	02/22/17	J		
49. American Funds Bond Fund Am (ABNDX)	A	Dividend			Sold	02/22/17	K		
50. Eagle Small Cap Growth Fund (HRSCX)	A	Dividend			Sold	02/22/17	K		
51. JP Morgan Equity Income Fund (OIEIX)	B	Dividend			Sold	02/22/17	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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)
52. Neuberger Berman High Inc. Bond Fund (NHILX)	A	Dividend			Sold	02/22/17	J		
53. Voya Fixed Account	A	Interest			Sold	02/22/17	K		
54. IRA #2 (H)									
55. CITIBANK CASH MONEY FUNDS	A	Interest	K	T	Open	03/02/17	M		
56. JP MORGAN INTREPID GROWTH FUND CLASS A (JIGAX)	A	Dividend	L	T	Buy	03/02/17	L		
57. JP MORGAN VALUE ADVANTAGE FUND (JVAAX)	B	Dividend	L	T	Buy	03/02/17	L		
58. JP MORGAN STRATEGIC INCOME OPPORTUNITY (JSOAX)	A	Dividend	K	T	Buy	03/02/17	K		
59. JP MORGAN CORE PLUS BOND FUND CLASS A (ONIA)	A	Dividend	K	T	Buy	03/02/17	K		
60. IRA #3 (H)									
61. Western Asset Instl Govt MMF	A	Interest	J	T					
62. iShares TR Russell 1000 Value ETF (IWD)	B	Dividend	L	T	Buy (add'l)	03/21/17	K		
63. iShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	L	T	Buy (add'l)	03/21/17	K		
64.					Sold (part)	12/07/17	J	A	
65. iShares TR Russell 2000 Value ETF (IWN)	A	Dividend			Sold	03/21/17	J	A	
66. iShares TR Russell 2000 Growth ETF (IWO)	A	Dividend			Sold	03/21/17	J	A	
67. iShares TR Russell 2000 ETF (IWM)	A	Dividend	J	T	Buy	03/21/17	J		
68. iShares Tr JP Morgan USD Emerging Mkts Bd ETF (EMB)	A	Dividend			Sold	03/21/17	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 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	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 8 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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)

69. IShares MSCI USA Minimum Volatility ETF (USMV)	A	Dividend			Sold	03/21/17	K	C	
70. SPDR SER TR Barclays High Yield Bond ETF (JNK)	A	Dividend	J	T					
71. Vanguard Bd Index Fd Inc Total Bd Market ETF (BND)	A	Dividend	K	T	Buy (add'l)	03/21/17	J		
72.					Buy (add'l)	06/12/17	J		
73.					Sold (part)	07/24/17	J		
74.					Sold (part)	12/07/17	J		
75. Vanguard TaxManaged Intl Fd FTSE (VEA)	B	Dividend	L	T	Sold (part)	03/21/17	J	A	
76.					Buy (add'l)	07/24/17	J		
77.					Buy (add'l)	12/07/17	J		
78. Vanguard Charlotte Funds Total Intl Bd Index Fund ETF (BNDX)	A	Dividend	J	T	Buy (add'l)	03/21/17	J		
79.					Sold (part)	06/12/17	J	A	
80. Vanguard Intl Equity Index Fds FTSE (VWO)	A	Dividend	K	T	Buy (add'l)	06/12/17	J		
81.					Buy (add'l)	12/07/17	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 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 9 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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

The trust identified in Part I contains no reportable assets.

Part III A, line 1: This payment was received in 2017, but the class took place in the fall of 2016. As a result, the 2017 report does not reflect a corresponding position in Part I.

Part III B, line 2: Payments for work performed in 2016.

Part VII, line 4: 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 5: 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 12/31/2016.

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 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Swain, Laura T.

Date of Report

08/06/2018

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