

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) PRESKA, LORETTA A.	2. Court or Organization UNITED STATES DISTRICT COURT, SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/08/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE, ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2016 to 12/31/2016
7. Chambers or Office Address U.S. COURTHOUSE 500 PEARL STREET, ROOM 2220 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.	Vice-President	Fordham Law Alumni Association
2.	Trustee	Trust # 11
3.	Advisory Board	Federalist Society, New York Chapter
4.	Trustee Emerita	Fordham University
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.)*

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 AND TYPE

1. 2016

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Federal Bar Association

November 29-30

Miami, FL

Art Law Seminar

Aifare, Taxi, Meals & Hotel

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.)*

<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. Law Firm Retirement Account (H)									
2. -Fidelity Contrafund	B	Dividend	O	T					
3. -Fidelity Cash Reserves	A	Dividend	L	T					
4. -Vanguard Midcap Index Fund		None			Sold	02/12/16	L	E	
5. -Brown Bros Core Select Fund	B	Dividend	M	T					
6. -Vanguard Small Cap Index Fund		None			Sold	02/12/16	L		
7. -Glenmeade Lg Cap Core Inst Fund	A	Dividend	L	T	Buy	01/20/16	L		
8. -Fidelity Total Market Index	D	Dividend	M	T	Buy	05/10/16	M		
9.					Buy (add'l)	12/20/16	K		
10. Law Firm Capital A/C and Int. in A/R		None	P1	W					
11. Citibank Accounts	B	Interest	O	T					
12. M&T Bank Accounts	A	Interest	M	T					
13. Trust # 10 (H)									
14. -Fidelity Municipal MMF	A	Dividend	P1	T					
15. -MS Global Long Short Fund	F	Dividend	P1	T	Sold (part)	04/26/16	O		
16. -SPDR Mid Cap 400 ETF	C	Dividend	M	T	Sold (part)	02/12/16	M	E	
17.					Sold (part)	12/13/16	K	B	

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 ~\$250,000,001 - \$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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☐ 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. -NY State Loc Govt Assistance Corp Subordinate Lien Ref-A Bonds	A	Interest	K	T					
19. -NY State Dorm Auth Revs Bonds	A	Interest			Redeemed	07/01/16	K		
20. -Florida State Brd Ed Pub Ed Ref-B Bonds	A	Interest	K	T					
21. -Palm Beach Fl Rep Ref Cap Impt Pro-A Bonds	A	Interest	K	T					
22. -Harris County TX Met Tran Auth Sales & Use Tax Red Bonds	A	Interest	K	T					
23. -WA State Var Purp-C Bonds	A	Interest	K	T					
24. -McHenry County IL Cmnty Unit Ach Dist Ref-B Bonds	A	Interest	K	T	Buy	02/27/15	K		
25. -Huntsville AL General Oblig Ref Cap Imp Warrants	A	Interest	K	T					
26. -BIOC LLC		None	K	W					
27. -IA Fin Auth Rev Bonds	A	Interest	K	T					
28. -Cary NC Pub Impt Ref-B Bonds	A	Interest	K	T					
29. -Boston MA Water and Sewer Commn Gen Rev Ref-A Bonds	A	Interest	K	T					
30. -Marion and Polk Counties OR sch Dist No 24 J Salem Bonds	A	Interest	K	T					
31. -DC Washington DC Income Tax Seed Rev Ref-A Bonds	A	Interest	K	T					
32. -Downtown Association Bond	A	Interest	J	W					
33. -Sustainable Waste Power Systems, Inc. Common Stock		None	K	W	Buy (add'l)	08/18/16	K		
34. -Blackrock Strategic Municipal Opportunity's Fund	E	Dividend	O	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	

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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)

35. -CT Hsg Fin Auth Mtg Ref-A Bonds	A	Interest	J	T					
36. -Deutsche Intermediate Tax Free Fund	C	Dividend	N	T	Buy	10/06/16	M		
37.					Buy (add'l)	10/13/16	M		
38. -Blackrock National Muni Fund	C	Dividend			Buy	04/22/16	O		
39.					Sold	12/19/16	O		
40. -Glendale AZ Un HS Dist Bonds	A	Dividend	J	T	Buy	06/15/16	J		
41. -Corona CA Pub Fin Auth Leave Rev Bonds	A	Dividend	K	T	Buy	07/08/16	K		
42. -Vanguard Intermediate Tax Exempt Fund		None	M	T	Buy	12/20/16	M		
43. Trust # 11 (H)									
44. -S + P Midcap SPDRS	A	Dividend			Sold (part)	02/12/16	J	D	
45.					Sold	12/13/16	K	A	
46. -Fidelity Cash Reserves	A	Dividend	J	T					
47. -Fidelity 500 Index Fund	A	Dividend	K	T					
48. IRA # 9 (H)									
49. -Fidelity Contrafund	B	Dividend	N	T					
50. -Blackrock Global Allocation Fund	C	Dividend	N	T	Buy (add'l)	01/19/16	N		
51. -Vanguard Midcap Fund	A	Dividend	K	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	

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52. -SPDR Midcap 400 ETF	C	Dividend			Sold (part)	02/12/16	L	E	
53.					Buy (add'l)	05/10/16	N		
54.					Sold	10/19/16	N	E	
55. -Tweedy Browne Global Value Fund		None			Sold	01/14/16	O		
56. -Brown Bros Core Select Fund	B	Dividend	N	T					
57. -SPDR S & P 500 ETF	E	Dividend	O	T					
58. -Fidelity 500 Index Fund	D	Dividend	P1	T	Buy	01/14/16	K		
59.					Buy (add'l)	09/23/16	J		
60. -Baron Growth Fund		None			Sold	01/12/16	M		
61. -Fidelity Total Market Index	D	Dividend	O	T	Buy (add'l)	05/10/16	M		
62.					Buy (add'l)	10/27/16	J		
63.					Buy (add'l)	12/20/16	L		
64. -Fidelity Gov't Cash Reserves	A	Dividend	M	T					
65. -Glenmeade Lg Cap Core Inst Fund	A	Dividend	M	T	Buy	01/13/16	M		
66. -DBX Europe Hedged Equity ETF		None			Buy	01/15/16	M		
67.		None			Sold	02/12/16	M		
68. -WisdomTree Europe Hedged Equity ETF		None			Buy	01/15/16	M		

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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69.		None			Sold	02/12/16	M		
70. -iShares Core S&P Mid Cap ETF	B	Dividend	N	T	Buy	10/19/16	N		
71. IRA # 10 (H)									
72. -Fidelity Gov't Cash Reserves	A	Dividend	L	T					
73. -Tweedy Browne Global Value Fund		None			Sold	01/14/16	M		
74. -Vanguard Midcap Index Fund	A	Dividend	K	T					
75. -Fidelity Low Priced Stock Fund	B	Dividend	M	T					
76. -Blackrock Global Allocation Fund	A	Dividend	K	T	Buy (add'l)	01/20/16	M		
77. -Brown Brothers Core Select Fund	A	Dividend	N	T					
78. -SPDR S & P 500 ETF	D	Dividend	N	T					
79. -Fidelity Contrafund	A	Dividend	J	T					
80. -iShares Core S&P Small Cap ETF		None			Sold	02/12/16	L		
81. -DBX Europe Hedged Equity ETF		None			Buy	01/15/16	K		
82.		None			Sold	02/12/16	K		
83. -WisdomTree Hedged Equity ETF		None			Buy	01/15/16	K		
84.		None			Sold	02/12/16	K		
85. -Fidelity Total Market Index	A	Dividend	M	T	Buy	05/11/16	M		

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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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86.					Buy (add'l)	12/20/16	J		
87. -Fidelity 500 Index Fund (X)	D	Dividend	M	T	Buy	10/15/14	L		
88.					Buy (add'l)	09/20/16	J		
89.					Buy (add'l)	12/26/16	K		

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

Line 5 - Typo last year - omitted "Core."

Line 24 - Accidentally omitted last year.

Lines 47, 58, and 61 - Name change.

Royce Total Return Fund (line 77 last year) was sold on 11/15/16 with a value code of E and no gain.

Line 36 - Typo last year. Was listed as "International" instead of "Intermediate."

Line 87 - Accidentally omitted from Reports for 2014 and 2015 due to confusion with name of another fund that was reported.

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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/ LORETTA A. PRESKA

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