

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) Swain, Laura T.	2. Court or Organization US District Court - SDNY	3. Date of Report 09/06/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address Daniel Patrick Moynihan U.S. Courthouse 500 Pearl Stret Suite 1320 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. 2015	Benjamin N. Cardozo Law School - Teaching	\$17,000.00
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	██████████ - 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. University of North Carolina Law School	2/20-22/2015	Chapel Hill, NC	Judge Moot Court Competition	Transportation, lodging, meals
2. NYU and Columbia Law Schools	11/13-15/2015	Manhasset, NY	Human Rights Law Seminar	Lodging, Meals
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. HSBC Bank - account	A	Interest	K	T					
2. Charles Schwab Rollover IRA									
3. - Dreyfus Appreciation Fund		None			Sold	01/08/15	K	D	
4. - Wells Fargo Adv. Income Plus Fund		None			Sold	01/08/15	K	B	
5. - Deutsche Core Equity Fund		None			Sold	01/08/15	J		
6. - Newberger & Berman Socially Resp. Fund		None			Sold	01/08/15	J	A	
7. - Neuberger & Berman Genesis Fund		None			Sold	01/08/15	J	C	
8. - TCW Select Equities Fund		None			Sold	01/08/15	J	A	
9. - Firsthand Technology Value Fund		None			Sold	01/08/15	J		
10. - Broadview Opportunity Fund		None			Sold	01/08/15	K	C	
11. - Allianz RCM Global Technology Fund		None			Sold	01/08/15	K		
12. - GAMCO Growth Fund		None			Sold	01/08/15	K	A	
13. - Managers Bond Fund		None			Sold	01/08/15	K	D	
14. - Touchstone Cap Growth Fund		None			Sold	01/08/15	J		
15. - Schwab Cash Reserves Sweep Shares	A	Dividend	J	T	Buy	01/07/15	J		
16. - "					Buy (add'l)	01/12/15	J		
17. - "					Buy (add'l)	08/26/15	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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18. - "					Sold (part)	04/14/15	J		
19. - "					Sold (part)	07/09/15	J		
20. - "					Sold (part)	12/22/15	J		
21. - iShares TR Bond 3-7 Yr Treas Bond ETF (IEI)	A	Dividend	J	T	Buy	01/08/15	J		
22. - "					Sold (part)	11/25/15	J		
23. - iShares IBOXX Investment Grade Corporate Bond ETF (LQD)	A	Dividend	J	T	Buy	01/08/15	J		
24. -- iShares Trust MBS ETF (MBB)		None			Buy	01/08/15	K		
25. - "					Sold	04/09/15	K	A	
26. - iShares TR Russell 1000 ETF (IWB)	A	Dividend	K	T	Buy	01/08/15	K		
27. - "					Buy (add'l)	03/18/15	J		
28. - "					Sold (part)	02/04/15	J		
29. - Sector SPDR Fincl SelectShares of Beneficial Int (XLF)	A	Dividend	J	T	Buy	01/08/15	J		
30. - iShares China Large-Cap ETF (FXI)	A	Dividend	J	T	Buy	01/08/15	J		
31. - SPDR Dow Jones REIT (RWR)	A	Dividend	J	T	Buy	01/08/15	J		
32. - "					Buy (add'l)	07/06/15	J		
33. - iShares Trust MSCI EAFE Small-Cap ETF (SCZ)	A	Dividend	J	T	Buy	01/08/15	J		
34. - iShares ETF Core MSCI Emerging Mkts (IEMG)	A	Dividend	J	T	Buy	01/08/15	J		

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35. - United St Commodity ETF Index Fund (USCI)		None			Buy	01/08/15	J		
36. - "					Sold	03/18/15	J		
37. - iShares Tr MSCI EAFE ETF (EFA)		None			Buy	01/08/15	K		
38. - "					Sold	04/09/15	K	C	
39. - iShares Bond ETF Agency Bond (AGZ)	A	Dividend	J	T	Buy	01/08/15	J		
40. - iShares Tr Russell 2000 ETF (IWM)	A	Dividend	J	T	Buy	01/08/15	J		
41. - Highland IBOXX ETF Senior Loan (SNLN)	A	Dividend	J	T	Buy	01/08/15	J		
42. - SPDR S&P Semiconductor (XSD)		None			Buy	01/08/15	J		
43. - "					Sold	03/18/15	J	A	
44. - Deutsche X-Trackers ETF MSCI EAFE Hedged Equity (DBEF)	A	Dividend	J	T	Buy	01/08/15	J		
45. - "	A	Distribution			Buy (add'l)	04/09/15	J		
46. - "					Sold (part)	08/20/15	J	A	
47. - PIMCO ETF 0-5 YR High Yield Corp Bond Index Exchange (HYS)	A	Dividend	J	T	Buy	01/08/15	J		
48. - Flexshares Exg Trd FD IBOXX 5 yr TGT Dur TIPS Index Fund (TDTF)	A	Dividend	J	T	Buy	01/08/15	J		
49. - "					Buy (add'l)	11/25/15	J		
50. - SPDR Barclays ETF High Yld Very Liquid Index (JNK)	A	Dividend	J	T	Buy	01/08/15	J		
51. - iShares Russell Microcap ETF (IWC)	A	Dividend	J	T	Buy	01/08/15	J		

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52. - Sector SPDR Consumer FD Shares of Beneficial Int (XLY)	A	Dividend	J	T	Buy	02/04/15	J		
53. - Powershares DB Multi Sector Powershs DC Base Metals FD (DBB)		None			Buy	03/18/15	J		
54. - "					Sold	12/17/15	J		
55. - Powershares DB Multisector Powershares DB Oil Fund (DBO)		None			Buy	03/18/15	J		
56. - "					Sold	12/17/15	J		
57. - Powershares DB Multisector Powershares DB Agrric Fund (DBA)		None			Buy	03/18/15	J		
58. - "					Sold	12/17/15	J		
59. - iShares Gold Trust (IAU)		None			Buy	03/18/15	J		
60. - "					Sold	12/17/15	J		
61. - Vanguard Mtrg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	K	T	Buy	04/09/15	K		
62. - "	A	Distribution							
63. - Vanguard FTSE ETF Dev Mkts (VEA)	A	Dividend	K	T	Buy	04/09/15	K		
64. - iShares MSCI ETF Minimum Volatility (USMV)	A	Dividend			Buy	04/09/15	J		
65. - "					Sold	08/20/15	J	A	
66. - Powershares DB Optm Yld Dvrsfd Strtg ETF (PDBC)		None	J	T	Buy	12/17/15	J		
67. ██████████ Corporation 401(k) Plan									
68. -Vanguard Mid-Cap Index Fund	A	Dividend	J	T					

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69. - Vanguard Total Stock Mkt Index Fund	B	Dividend	K	T					
70. -American Funds Growth Fund	A	Dividend	J	T					
71. - American Funds New Perspective	A	Dividend	J	T					
72. - American Funds Bond Fund Am	A	Dividend	J	T					
73. - Eagle Small Cap Growth Fund	A	Dividend	J	T					
74. - JP Morgan Equity Income Fund	B	Dividend	K	T					
75. - Neuberger Berman High Inc. Bond Fund	A	Dividend	K	T					
76. - Voya Fixed Account	A	Interest	K	T					
77. [REDACTED] Corporation Profit Sharing Plan		None	K	T					
78. [REDACTED] Employees Stock Ownership Plan		None	K	T					
79. Citibank interest bearing accounts	A	Interest	K	T					
80. Citibank Rollover IRA									
81. -FDIC insured deposits	A	Interest	J	T					
82. -iShares TR Russell 1000 Value ETF (IWD)	B	Dividend	K	T	Buy (add'l)	03/09/15	J		
83. - "					Sold (part)	12/07/15	J		
84. -iShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	K	T	Buy (add'l)	03/09/15	J		
85. - "					Sold (part)	10/05/15	J	A	

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86. - "					Sold (part)	12/07/15	J	A	
87. -iShares TR Russell 2000 Value ETF (IWN)	A	Dividend	J	T	Buy (add'l)	03/09/15	J		
88. -iShares TR Russell 2000 Growth ETF (IWO)	A	Dividend	J	T	Buy (add'l)	03/09/15	J		
89. -SPDR SER TR Barclays High Yield Bond ETF (JNK)	A	Dividend	J	T	Sold (part)	03/09/15	J	A	
90. - SPDR SER TR Barclays Intl Treas Bd ETF (BWV)	A	Dividend			Sold	02/20/15	J		
91. - "	A	Distribution							
92. -Vanguard Bd Index Fd Inc Total Bd Market ETF (BND)	A	Dividend	J	T	Buy (add'l)	03/09/15	J		
93. - "	A	Distribution			Buy (add'l)	05/05/15	J		
94. - "					Buy (add'l)	12/07/15	J		
95. -Vanguard TaxManaged Intl Fd FTSE (VEA)	A	Dividend	K	T	Sold (part)	02/20/15	K	A	
96. - "					Sold (part)	03/09/15	J	A	
97. - "					Sold (part)	05/05/15	J	A	
98. - "					Buy (add'l)	10/05/15	J		
99. -Vanguard Intl Equity Index Fds FTSE (VWO)	A	Dividend	J	T	Sold (part)	05/05/15	J	A	
100. - "					Buy (add'l)	10/05/15	J		
101. - "					Sold (part)	12/07/15	J	A	
102. Vanguard Charlotte Funds Total Intl Bd Index Fund ETF (BNDX)	A	Dividend	J	T	Buy	02/20/15	J		

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103. - "					Buy (add'l)	03/09/15	J		
104. - "					Buy (add'l)	05/05/15	J		
105. - "					Buy (add'l)	12/07/15	J		
106. - iShares Tr JP Morgan USD Emerging Mkts Bd ETF (EMB) (X)	A	Dividend	J	T					
107. - Dreyfus Liquid Assets Cl 2 (Money Market) (X)	A	Interest	J	T					
108. - Deutsche X-Trackers MCSI EAFE Hedged Equity ETF (DBEF)	A	Dividend	K	T	Buy	02/20/15	K		
109. - "					Sold (part)	03/09/15	J	A	
110. - "	A	Distribution							
111. Nationwide Bank CD	A	Interest	L	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

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Name of Person Reporting

Swain, Laura T.

Date of Report

09/06/2016

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

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

(Part VII, line 77) 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 78) 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 12/31/2014.

(Part VII, line 106) All transactions in this security were under \$1000.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Swain, Laura T.

Date of Report

09/06/2016

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/ **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