

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) Torres, Analisa N.	2. Court or Organization U.S. District Court for the Southern District of New York	3. Date of Report 12/05/2017
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 01/01/2016 to 12/31/2016
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Chair	WHEDCO-Women's Housing and Economic Development Corporation
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2016	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. 2016	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.				

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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.	Wells Fargo Visa	Credit Card	J
2.	Am Express	Credit Card	J
3.	Chase MC	Credit Card	J
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. Brokerage Account-TOD #1 (H)									
2. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
3. -Ford-F	A	Dividend			Sold	08/08/16	K		
4. -iShares Dividend Index-DVY	A	Dividend	J	T					
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. -Calamos Strategic Fund-CSQ	A	Dividend	J	T					
9. -Nuveen Pref Inc Fund-JPC	B	Dividend	K	T					
10. -Apple-AAPL	A	Dividend	J	T					
11. General Electric-GE	E	Dividend	K	T					
12. Powershares-SPHD	A	Dividend	K	T	Buy	08/16/16	K		
13. Spider S&P 500-SPY	A	Dividend	J	T	Buy	08/16/16	J		
14.									
15. Brokerage Account #2 (H)									
16. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
17.									

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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18. Brokerage Account #3 (H)									
19. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
20.									
21. SW-IRA#1 (H)									
22. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
23. -Abbvie-ABBV	A	Dividend	J	T					
24. -Altria-MO	A	Dividend	J	T	Buy	10/13/16	L		
25.					Sold (part)	11/01/16	J	A	
26. -Apple-AAPL	B	Dividend	K	T					
27.					Sold (part)	11/01/16	K	D	
28. -Berkshire Hathaway-BRKB	A	Dividend			Sold	07/29/16	J	B	
29. -Facebook-FB	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
30.					Sold (part)	11/01/16	J	D	
31. -JPM Chase-JPM	A	Dividend	L	T	Sold (part)	11/01/16	K	E	
32. -Microsoft-MSFT	A	Dividend	J	T	Sold (part)	11/01/16	J	B	
33. PSX	A	Dividend	J	T					
34. -Tesla-TSLA		None			Sold	11/01/16	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	
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35. AMZN		None	J	T	Buy (add'l)	01/08/16	J		
36. GOOGL		None			Buy	01/08/16	J		
37.					Sold	11/01/16	J	A	
38. SAN	B	Dividend			Sold	01/08/16	K		
39.									
40. SCW Roth IRA #2 (H)									
41. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
42. -Bank of America-BAC	A	Dividend	L	T	Sold (part)	11/15/16	K	D	
43.									
44.									
45.									
46. AT- Roth IRA #3 (H)									
47. -Wells Fargo Bank Deposit Sweep	A	Dividend	J	T					
48. -First Eagle-FESGX		None	J	T					
49.									
50. AT-Elmc-IRA#5 (H)									
51. -ABBV	A	Dividend	J	T					

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52. -MO	A	Dividend	J	T					
53. -AEP	A	Dividend	J	T					
54. -T	A	Dividend	J	T					
55. -BMY	A	Dividend			Sold	08/08/16	J	A	
56. -CSCO	A	Dividend	J	T					
57. -CAG	A	Dividend	J	T					
58. -COP	A	Dividend			Sold	01/27/16	J		
59. -DEO	A	Dividend	J	T					
60. -D	A	Dividend	J	T					
61. -DOV	A	Dividend	J	T					
62. -DD	A	Dividend	J	T					
63. -GD	A	Dividend	J	T					
64. -GPC	A	Dividend	J	T					
65. -GSK	A	Dividend	J	T					
66. -HCP	A	Dividend			Sold	02/09/16	J		
67. -HCN	A	Dividend	J	T					
68. -HD	A	Dividend	J	T					

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69. -ITW	A	Dividend	J	T					
70. -INTC	A	Dividend	J	T					
71. -IP	A	Dividend	J	T					
72. -JNJ	A	Dividend	J	T					
73. -JPM	A	Dividend	J	T					
74. -KMB	A	Dividend	J	T					
75. -LMT	A	Dividend	J	T					
76. -MTB	A	Dividend	J	T					
77. -MAT	A	Dividend	J	T					
78. -MXIM	A	Dividend	J	T					
79. -MCD	A	Dividend	J	T					
80. -MCHP	A	Dividend	J	T					
81. -MSFT	A	Dividend	J	T					
82. -NEE	A	Dividend	J	T					
83. -PBCT	A	Dividend	J	T					
84. -PEP	A	Dividend	J	T					
85. -PSX	A	Dividend	J	T					

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86. -PG	A	Dividend	J	T					
87. -RDS.A	A	Dividend			Sold	09/02/16	J		
88. -SON	A	Dividend	J	T					
89. -SE	A	Dividend			Sold	09/06/16	J		
90. -SO	A	Dividend	J	T					
91. -UPS	A	Dividend	J	T					
92. -VZ	A	Dividend	J	T					
93. -VOD	A	Dividend	J	T					
94. -WAG	A	Dividend	J	T					
95. -WM	A	Dividend	J	T					
96. QCOM	A	Dividend	J	T					
97. PFE	A	Dividend	J	T					
98. NUE	A	Dividend	J	T					
99. -XOM	A	Dividend	J	T	Buy	04/12/16	J		
100. -GE	A	Dividend	J	T	Buy	02/25/16	J		
101. -IBM	A	Dividend	J	T	Buy	09/06/16	J		
102. -USB	A	Dividend	J	T	Buy	01/20/16	J		

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103.									
104. SCW-IRA#6 DSIP (H)									
105. -AFL	A	Dividend	J	T					
106. -APD	A	Dividend	J	T					
107. -ADI	A	Dividend	J	T					
108. -ADP	A	Dividend	J	T					
109. -AMGN	A	Dividend	J	T	Buy	03/23/16	J		
110. -BDX	A	Dividend	J	T					
111. -CVX	A	Dividend	J	T					
112. -CB	A	Dividend	J	T					
113. -CLX	A	Dividend	J	T					
114. -CL	A	Dividend	J	T					
115. -COP	A	Dividend			Sold	01/27/16	J		
116. -EV	A	Dividend	J	T					
117. -EMR	A	Dividend	J	T					
118. -FDS	A	Dividend	J	T					
119. -GIS	A	Dividend	J	T					

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120. -GD	A	Dividend	J	T					
121. -GWW	A	Dividend	J	T					
122. -HRS	A	Dividend	J	T					
123. -IBM	A	Dividend	J	T					
124. -SJM	A	Dividend	J	T					
125. -JNJ	A	Dividend	J	T					
126. -K	A	Dividend	J	T					
127. -MCD	A	Dividend	J	T					
128. -MDT	A	Dividend	J	T					
129. -MSFT	A	Dividend	J	T					
130. -NEE	A	Dividend	J	T					
131. -JWN	A	Dividend			Sold	11/15/16	J		
132. -NSC	A	Dividend	J	T					
133. -NU	A	Dividend			Sold	11/15/16	J		
134. -NVS	A	Dividend	J	T					
135. -PAYX	A	Dividend	J	T					
136. -PEP	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	

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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)
137. -PSX	A	Dividend	J	T					
138. -PII	A	Dividend	J	T					
139. -PX	A	Dividend	J	T					
140. -PG	A	Dividend	J	T					
141. -SCG	A	Dividend	J	T					
142. -SIAL	A	Dividend	J	T					
143. -SYY	A	Dividend	J	T					
144. -TGT	A	Dividend	J	T					
145. -SO	A	Dividend	J	T					
146. -VFC	A	Dividend	J	T					
147. -WMT	A	Dividend	J	T					
148. -WEC	A	Dividend	J	T					
149. -MMM	A	Dividend	J	T					
150. -ES	A	Dividend	J	T	Buy	03/23/16	J		
151. -NKE	A	Dividend	J	T	Buy	01/20/16	J		
152.									
153. 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	

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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)
154.									
155. Chase Checking Plus Account (H)	A	Dividend	J	T					
156.									
157. 401K #1 (H)									
158. -Wells Fargo 401k Large Cap Growth Multi-Manager Fund	A	Dividend	J	T					
159. -Wells Fargo 401k LargeCap Value Multi- Manage Fund	A	Dividend	J	T					
160. -Wells Fargo 401k Small Cap Multi- Manager Fund	A	Dividend	J	T					
161. -Lazard Emerging Markets Equity Fund	A	Dividend	J	T					
162. -American Funds EuroPacific Fund	A	Dividend	J	T					
163. -SSGA International Index Fund	A	Dividend	J	T					
164. -Wells Fargo non-ESOP Fund	A	Dividend	K	T					
165.									
166. IRA #4 (H)									
167.									
168.									
169.									
170.									

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

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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/ 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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