

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 04/30/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE, SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2017 to 12/31/2017
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. 2017	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. NYSBA	April 18-20	Dublin	Speaker at International Section Meeting	Airfare, ground transportation
2. Standing International Forum of Commercial Courts	May 4-7	London	Participation in Standing International Commercial Courts Forum	Airfare ground transportation, hotel, meals and incidentals
3. DRI	May 10-14	New Orleans	Participation in DRI panel	Airfare, ground transportation, hotel, meals
4. UNICTRAL	October 12-19	Hong Kong	Speaker at UNICTRAL Asia Pacific Judicial Summit	Airfare, ground transportation, hotel

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5.	CEELI Institute	October 24-29	India	Education for foreign judges	Airfare, ground transportation, meals, visa application
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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 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)

1. Law Firm Capital A/C and Int. in A/R					Redeemed	04/17/17			
2. Citibank Accounts	D	Interest	P1	T					
3. M&T Bank Accounts	A	Interest	M	T					
4. Trust # 10 (H)									
5. -Fidelity Municipal MMF	A	Dividend	L	T					
6. -MS Global Long Short Fund					Sold	03/20/17	O		
7. -SPDR Mid Cap 400 ETF	B	Dividend	M	T					
8. -NY State Loc Govt Assistance Corp Subordinate Lien Ref-A Bonds	A	Interest	K	T					
9. -Florida State Brd Ed Pub Ed Ref-B Bonds	A	Interest	K	T					
10. -Palm Beach FI Rep Ref Cap Impt Pro-A Bonds	A	Interest	K	T					
11. -Harris County TX Met Tran Auth Sales & Use Tax Red Bonds	A	Interest	K	T					
12. -WA State Var Purp-C Bonds	A	Interest	K	T					
13. -McHenry County IL Cmnty Unit Ach Dist Ref-B Bonds	A	Interest	K	T					
14. -Huntsville AL General Oblig Ref Cap Imp Warrants	A	Interest	J	T					
15. -BIOC LLC		None	K	W					
16. -IA Fin Auth Rev Bonds	A	Interest			Sold	08/01/17	K		
17. -Cary NC Pub Impt Ref-B Bonds	A	Interest	K	T					

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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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. -Boston MA Water and Sewer Commn Gen Rev Ref-A Bonds	A	Interest	K	T					
19. -Marion and Polk Counties OR sch Dist No 24 J Salem Bonds	A	Interest	K	T					
20. -DC Washington DC Income Tax Secd Rev Ref-A Bonds	A	Interest	K	T					
21. -Downtown Association Bond	A	Interest	J	W					
22. -Sustainable Waste Power Systems, Inc. Common Stock		None	K	W					
23. -Blackrock Strategic Municipal Opportunities Fund	E	Dividend	O	T	Buy (add'l)	04/05/17	L		
24. -CT Hsg Fin Auth Mtg Ref-A Bonds	A	Interest	J	T					
25. -Deutsche Intermediate Tax Free Fund	E	Dividend	N	T					
26. -Glendale AZ Un HS Dist Bonds	A	Dividend	J	T					
27. -Corona CA Pub Fin Auth Leave Rev Bonds	A	Dividend	K	T					
28. -Vanguard Intermediate Tax Exempt Fund	C	None	M	T					
29. -Fidelity Money Market Premium Class	B	Dividend	L	T	Buy	01/10/17	N		
30. -IBOxx Investment Grade Corporate Bond ETF	B	Dividend			Buy	04/05/17	L		
31.					Sold	12/29/17	L	B	
32. -Oklahoma Dev Fin Auth St Sys Higher Ed Bonds	A	Interest	J	T	Buy	06/08/17	J		
33. -CA Bay Area Toll Auth Bridge Rev. Bonds	A	Interest	K	T	Buy	08/03/17	K		
34. Trust # 11 (H)									

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	
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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. -Fidelity Cash MMKT	A	Dividend	K	T					
36. -Fidelity 500 Index Fund	A	Dividend	K	T					
37. -Fidelity Money Market Premium Class	A	Dividend	M	T	Buy	01/10/17	J		
38. IRA # 9 (H)									
39. -Fidelity Contrafund	C	Dividend	O	T					
40. -Blackrock Global Allocation Fund	D	Dividend	O	T					
41. -Vanguard Midcap Fund	A	Dividend	K	T					
42. -Brown Bros Core Select Fund	B	Dividend	N	T					
43. -SPDR S & P 500 ETF					Sold	06/22/17	O	G	
44. -Fidelity 500 Index Fund	D	Dividend	P1	T	Buy (add'l)	01/18/17	K		
45.					Buy (add'l)	07/12/17	J		
46. -Fidelity Total Market Index	E	Dividend	P1	T	Buy (add'l)	01/17/17	J		
47.					Buy (add'l)	03/31/17	J		
48.					Buy (add'l)	05/31/17	J		
49.					Buy (add'l)	10/11/17	K		
50. -Fidelity Gov't Cash Reserves	A	Dividend	M	T					
51. -Glenmeade Lg Cap Core Inst Fund	A	Dividend	M	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 \$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	

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52. -iShares Core S&P Mid Cap ETF	B	Dividend	N	T					
53. -iShares Core S&P 500 ETF	E	Dividend	P1	T	Buy	06/22/17	O		
54. IRA # 10 (H)									
55. -Fidelity Gov't Cash Reserves	A	Dividend	L	T					
56. -Vanguard Midcap Index Fund	A	Dividend	K	T					
57. -Fidelity Low Priced Stock Fund	B	Dividend	M	T					
58. -Blackrock Global Allocation Fund	B	Dividend	M	T					
59. -Brown Brothers Core Select Fund	A	Dividend	N	T					
60. -SPDR S & P 500 ETF	C	Dividend			Sold	06/22/17	N	F	
61. -Fidelity Contrafund	B	Dividend	K	T					
62. -Fidelity Total Market Index	B	Dividend	N	T	Buy (add'l)	01/17/17	J		
63.					Buy (add'l)	3/31/17	J		
64.					Buy (add'l)	05/31/17	J		
65.					Buy (add'l)	10/11/17	K		
66. -Fidelity 500 Index Fund	D	Dividend	M	T	Buy (add'l)	07/12/17	J		
67. -iShares Core S&P 500 RTF	D	Dividend	N	T	Buy	06/22/17	N		
68. -IRA #11 (H)									

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. -Fidelity Contrafund	F	Dividend	O	T					
70. -Fidelity Cash Reserves	A	Dividend	L	T					
71. -Brown Bros Core Select Fund	D	Dividend	M	T					
72. -Glenmeade Lg Cap Core Inst Fund	A	Dividend	L	T					
73. -Fidelity Total Market Index	D	Dividend	M	T	Buy (add'l)	03/31/17	J		
74. -Fidelity 500 Index Premium Class	C	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 1 from last year has been eliminated to reflect that the Law Firm Retirement Account was rolled into an IRA (IRA #11) at the end of 2017. The entires from lines 2-9 last year (except those items sold in 2016) now appear under IRA #11 in lines 69-74.

Line 74 reflects a position initially bought on 12/22/16 at a Value Code of K in the Law Firm Retirement Account, the positions of which as of 12/31/16 were reported on lines 2 to 9 of the Amended Report for 2016. In December 2017 the contents of that account were rolled into IRA # 11, the positions of which as of 12/31/17 were reported on lines 69 to 74 of the Report for 2017, including the position acquired on 12/22/16 which was reported on line 74 of the Report for 2017. This position was inadvertently omitted from the Report for 2016 but was reported on the Report for 2017 in Line 74.

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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