

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 03/24/2014
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 1/1/2013 to 12/31/2013
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. Co-Trustee/Trustee	Trusts # 7 & 11
3. Advisory Board	Federalist Society, New York Chapter
4. Trustee	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. 2013

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.

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. JP Morgan Chase Bank	A	Interest			Closed	08/22/13	J		
2. (H) Law Firm Retirement Account	F	Dividend	P1	T					
3. -Fidelity Contrafund									
4. -Baron Growth Fund									
5. -Fidelity Cash Reserves									
6. -Royce Total Return Fund									
7. -Vanguard Midcap Index Fund									
8. -Brown Bros Select Fund									
9. Law Firm Capital A/C and Int. in A/R		None	P1	W					
10. Citibank Accounts	B	Interest	P1	T					
11. M&T Bank Accounts	A	Interest	M	T					
12. (H) Trust # 10	G	Int./Div.	P1	T					
13. -Fidelity Municipal MMF									
14. -MS Global Long Short Fund									
15. -Templeton Global Fund					Sold	09/26/13	N		
16. -Blackrock Global Fund									
17. -Ivy Asset Strategy Fund									

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 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. -Vanguard LTD Term Tax Exempt Fund					Buy (add'l)	03/16/13	N		
19.					Buy (add'l)	03/28/13	N		
20.					Sold (part)	8/19/13	O		
21. -SPDR Mid Cap 400 ETF					Buy (add'l)	3/13/13	M		
22. -Royce Total Return Fund									
23. -Blackstone Equity Div Fund					Buy (add'l)	06/3/13	L		
24. -Forrest City Investment Partners					Closed	8/31/13	J		
25. -NYS Muni Bonds									
26. -FL Muni Bonds									
27. -TX Muni Bonds									
28. -WA Muni Bonds									
29. -PA Muni Bonds									
30. -IL Muni Bonds									
31. -AL Muni Bonds									
32. -Integro Common Stock									
33. -DE Muni Bonds									
34. -NV Muni Bonds									

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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. -Ironshore Common Stock									
36. -BIOC LLC									
37. -IA Muni Bonds									
38. -NC Muni Bonds									
39. -MA Muni Bonds									
40. -OR Muni Bonds									
41. -DC Muni Bonds									
42. -Downtown Association Bond									
43. -Baron Growth Fund					Buy	06/03/13	L		
44. (H) Trust # 11	C	Dividend	M	T					
45. -S + P Midcap SPDRS									
46. -Fidelity Cash Reserves									
47. -Templeton Global Fund					Sold	02/27/13	K		
48. -Blackrock Equity Div Fund									
49. -Vanguard LTD Tax Exempt Fund					Sold	02/27/13	L		
50. -Western Asset Govt MMF									
51. (H) IRA # 9	G	Dividend	P1	T					

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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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52. -Fidelity Contrafund					Buy (add'l)	03/06/13	J		
53.					Buy (add'l)	05/20/13	J		
54.					Buy (add'l)	09/09/13	J		
55. -Fidelity U.S. Gov't Reserves									
56. -Blackrock Global Allocation Fund									
57. -Pimco Total Return Fund					Sold (part)	06/04/13	M		
58.					Sold	06/13/13	N	F	
59. -Vanguard Midcap Fund									
60. -SPDR Midcap 400 ETF									
61. -Ivy Asset Strategy Fund					Buy (add'l)	06/04/13	K		
62. -Tweedy Browne Special Value Fund					Buy (add'l)	06/04/13	L		
63. -Blackrock Equity Dividend Fund									
64. -JP Morgan LG Cap Growth Fund					Sold	03/12/13	O	F	
65. -Brown Bros Core Select Fund									
66. -Templeton Global Fund					Sold	09/21/13	K	B	
67. -SPDR S & P 500 ETF					Buy	03/14/13	O		
68.					Buy	07/29/13	K		

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69. -Spartan Mortier Index Fund					Buy	06/13/13	N		
70. (H) IRA # 10	E	Dividend	P1	T					
71. -SPDR Midcap 400									
72. -Fidelity U.S. Gov't Reserves									
73. -Tweedy Browne Global Value Fund									
74. -Vanguard Midcap Index Fund									
75. -Ivy Asset Strategy Fund									
76. -Fidelity Low Priced Stock Fund					Buy (add'l)	03/06/13	J		
77.					Buy (add'l)	05/20/13	J		
78. -Blackrock Global Allocation Fund									
79. -Brown Brothers Core Select Fund									
80. -JP Morgan Lg Cap Growth Fund					Sold	03/12/13	N	E	
81. -SPDR S & P 500 ETF					Buy	03/14/13	N		
82. -Fidelity Contrafund					Buy	09/09/13	J		
83.									

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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/ 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
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One Columbus Circle, N.E.
Washington, D.C. 20544