

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 03/26/2013
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 01/01/2012 to 12/31/2012
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 and 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Onassis Foundation	May 23-27, 2012	Athens, Greece	Trial of Socrates	Lodging, food, travel
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	J	T					
2. (H) Law Firm Retirement Account	B	Dividend	O	T					
3. -Fidelity Contrafund					Buy (add'l)	01/13/12	J		
4. -Baron Growth Fund									
5. -Fidelity Cash Reserves									
6. -Royce Total Return Fund					Sold (part)	07/06/12	M		
7. -Vanguard Midcap Index Fund									
8. -Brown Bros Select Fund					Buy	07/06/12	M		
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									
16. -Blackrock Global Fund									
17. -Ivy Asset Strategy Fund					Donated (part)				

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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☐ 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					Sold (part)	01/04/12	J	A	
19.					Sold	04/12/12	N	B	
20. - SPDR Mid Cap 400 ETF					Sold (part)	2/17/12	J	A	
21.					Buy (add'l)	06/07/12	L		
22.					Sold (part)	07/17/12	K	A	
23.					Donated (part)				
24. -Royce Total Return Fund					Sold (part)	1/4/12	J	A	
25.					Sold	4/12/12	N	B	
26.					Buy (add'l)	05/24/12	L		
27. -Blackstone Equity Div Fund					Buy	06/07/12	L		
28.					Buy	09/12/12	L		
29. -Forrest City Investment Partners									
30. -NYS Muni Bonds					Matured (part)	04/02/12	K	A	
31.					Buy (add'l)	04/24/12	K		
32.					Buy (add'l)	04/30/12	K		
33. -FL Muni Bonds					Buy (add'l)	04/24/12	K		
34.					Buy (add'l)	05/03/12	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
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	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	
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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. -TX Muni Bonds					Matured	06/01/12	J		
36.					Buy (add'l)	06/07/12	K		
37.					Buy (add'l)	05/14/12	K		
38. -WA Muni Bonds					Buy (add'l)	05/07/12	K		
39. -PA Muni Bonds									
40. -IL Muni Bonds									
41. -AL Muni Bonds					Buy (add'l)	04/25/12	K		
42. -Integro Common Stock									
43. -DE Muni Bonds									
44. -NV Muni Bonds									
45. -Ironshore Common Stock									
46. -BIOC LLC									
47. -IA Muni Bonds					Buy	4/26/12	K		
48. -NC Muni Bonds					Buy	4/25/12	K		
49. -MA Muni Bonds					Buy	06/06/12	K		
50.					Buy (add'l)	05/10/12	K		
51. -OR Muni Bonds					Buy	05/03/12	K		

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -DC Muni Bonds					Buy	05/03/12	K		
53. -Downtown Association Bond									
54. (H) Trust # 11	D	Dividend	N	T					
55. -S+P Midcap SPDRS					Sold (part)	07/17/12	K	C	
56. -Fidelity Cash Reserves									
57. -Templeton Global Fund									
58. -Blackrock Equity Div Fund									
59. -Vanguard LTD Tax Exempt Fund					Buy	01/13/12	L		
60. -Western Asset Govt MMF									
61. (H) IRA # 9	G	Dividend	P1	T					
62. -Fidelity Contrafund					Buy (add'l)	01/13/12	J		
63.					Buy (add'l)	05/22/12	M		
64.					Buy (add'l)	06/07/12	J		
65. -Fidelity U.S. Gov't Reserves									
66. -Baron Growth Fund					Sold	07/06/12	N	G	
67. -Blackrock Global Allocation Fund									
68. -Pimco Total Return Fund					Buy (add'l)	10/5/12	L		

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69. -Vanguard Midcap Fund									
70. -SPDR Midcap 400 ETF					Sold (part)	07/17/12	L	E	
71. -Am Growth Fund of America					Sold	01/05/12	K	C	
72. -Ivy Asset Strategy Fund									
73. -Royce Total Return Fund					Sold	07/06/12	N	F	
74. -Tweedy Browne Special Value Fund									
75. -Spartan 500 Index Fund					Buy (add'l)	01/15/12	K		
76.					Sold	05/22/12	M	C	
77. -Blackrock Equity Dividend Fund					Buy (add'l)	01/15/12	K		
78. -JP Morgan LG Cap Growth Fund					Buy	05/22/12	M		
79.					Buy (add'l)	07/06/12	N		
80. -Brown Bros Core Select Fund					Buy	07/06/12	N		
81. -Templeton Global Fund					Buy	10/05/12	K		
82. (H) IRA # 10	E	Dividend	P1	T					
83. -SPDR Midcap 400									
84. -Fidelity U.S. Gov't Reserves									
85. -Baron Growth Fund					Sold	07/06/12	K	C	

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86. -Am Growth Fund of America					Sold	01/05/12	O	D	
87. -Tweedy Browne Global Value Fund									
88. -Vanguard Midcap Index Fund									
89. -Ivy Asset Strategy Fund					Buy (add'l)	10/15/12	L		
90. -Fidelity Low Priced Stock Fund					Buy (add'l)	01/13/12	L		
91.					Sold (part)	07/17/12	M		
92. -Blackrock Global Allocation Fund					Buy (add'l)	01/05/12	N		
93. -Brown Bros Core Select Fund					Buy	07/06/12	K		
94.					Buy (add'l)	10/15/12	L		
95. -JP Morgan Lg Cap Growth Fund					Buy	01/05/12	M		
96. SPDR S&P Midcap ETF					Buy	05/24/12	K		
97.					Sold	06/04/12	K	A	
98. Blackrock Global Allocation Fund					Buy	05/24/12	M		
99.					Sold	06/04/12	M		

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

-- Page 5, line 20. This asset was reported in my 2010 FDR at line 83 and was reported transferred to a non-reportable trust on 9/23/11 in Item VIII on page 9 of my FDR for 2011. In fact, that was only a partial transfer, so this asset again appears in Trust # 10 on this FDR.

-- Page 7, line 53 was acquired as of 07/30/10 but documentation was not located until 2012.

-- Trusts 6 and 7 (disclosed on my FDR for 2011 at lines 2-8 at page 4) are omitted this year (although Trust 7 is reported in Part I, line 2) because they have been established to receive proceeds of life insurance policies, the insured person is still living, and the trust has no asset valued at more than \$1000 (other than the insurance policies) and thus, to that extent, they are "unfunded trusts".

-- The various municipal bonds and non-public investments reported on my FDR for 2011 at lines 16, 17, 19, 21-28, 43, and 76 were transferred to Trust # 10 during 2012 and are thus now reported at lines 29 to 46, along with newly purchased investments that are held in that same trust and thus are reported at lines 47 to 53.

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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