

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) PRESKA, LORETTA A.	2. Court or Organization UNITED STATES DISTRICT COURT, SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 08/08/2016
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 1/1/2015 to 12/31/2015
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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. 2015	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. Dubai International	3/19-24/2015	Dubai, UAE	Speech	Travel, Lodging, Food
2. Financial Center				
3. Courts				
4. International Association of Defense Counsel	7/6-7/2015	Colorado Springs	Speech	Travel, Lodging, Food
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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. Law Firm Retirement Account (H)									
2. -Fidelity Contrafund	B	Dividend	O	T					
3. -Fidelity Cash Reserves	A	Dividend	L	T					
4. -Royce Total Return Fund		None			Sold	11/18/15	M		
5. -Vanguard Midcap Index Fund	A	Dividend	L	T					
6. -Brown Bros Select Fund	B	Dividend	M	T					
7. -Vanguard Small Cap Index Fund	A	Dividend	L	T	Buy	11/18/15	L		
8. Law Firm Capital A/C and Int. in A/R		None	P1	W					
9. Citibank Accounts	B	Interest	O	T					
10. M&T Bank Accounts	A	Interest	M	T					
11. Trust # 10 (H)									
12. -Fidelity Municipal MMF	A	Dividend	P1	T					
13. -MS Global Long Short Fund	F	Dividend	P1	T					
14. -Blackrock Global Fund		None			Sold	02/02/15	L	B	
15. -Ivy Asset Strategy Fund		None			Sold	02/02/15	J		
16. -Vanguard LTD Term Tax Exempt Fund		None			Sold	06/15/15	K		
17. -SPDR Mid Cap 400 ETF	C	Dividend	M	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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)

18. -Royce Total Return Fund		None			Sold	02/02/15	L	C	
19. -NY State Loc Govt Assistance Corp Subordinate Lien Ref-A Bonds	A	Interest	K	T					
20. -NY State Dorm Auth Revs Bonds	A	Interest	K	T					
21. -Florida State Brd Ed Pub Ed Ref-B Bonds	A	Interest	K	T					
22. -Palm Beach Fl Rep Ref Cap Impt Pro-A Bonds	A	Interest	K	T					
23. -Harris County TX Met Tran Auth Sales & Use Tax Red Bonds	A	Interest	K	T					
24. -WA State Var Purp-C Bonds	A	Interest	K	T					
25. -King City Washington School District No 414 Lake Bonds		None			Redeemed	07/17/15	K		
26. -Westmoreland County PA Mun Auth Mun Svc Rev Bonds		None			Redeemed	08/17/15	K		
27. -McHenry County IL Cmnty Unit Ach Dist Ref-B Bonds	A	Interest	K	T	Buy	02/27/15	K		
28. -Huntsville AL General Oblig Ref Cap Imp Warrants	A	Interest	K	T					
29. -Integro Common Stock		None			Sold	11/04/15	N		
30. -NV State GO Bonds		None			Redeemed	06/01/15	J		
31.					Redeemed	12/01/15	J		
32. -Ironshore Common Stock		None			Sold (part)	02/12/15	M	F	
33.					Sold	11/20/15	O	G	
34. -BIOC LLC		None	K	W					

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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)
35. -IA Fin Auth Rev Bonds	A	Interest	K	T					
36. -Cary NC Pub Impt Ref-B Bonds	A	Interest	K	T					
37. -Boston MA Water and Sewer Commn Gen Rev Ref-A Bonds	A	Interest	K	T					
38. -Marion and Polk Counties OR sch Dist No 24 J Salem Bonds	A	Interest	K	T					
39. -DC Washington DC Income Tax Seed Rev Ref-A Bonds	A	Interest	K	T					
40. -Downtown Association Bond	A	Interest	J	W					
41. -Sustainable Waste Power Systems, Inc. Common Stock		None	K	W					
42. -Blackrock Strategic Municipal Opportunity's Fund	E	Dividend	O	T					
43. Spartan 500 Index Fund		None			Distributed	01/21/15	M		
44. -CT Hsg Fin Auth Mtg Ref-A Bonds	A	Interest	J	T	Buy	02/11/15	J		
45. -Deutsche International Tax Free Fund	C	Dividend	N	T	Buy	07/30/15	N		
46. Trust # 11 (H)									
47. -S + P Midcap SPDRS	A	Dividend	L	T					
48. -Fidelity Cash Reserves	A	Dividend	J	T					
49. -Blackrock Equity Div Fund		None			Sold	01/17/14	L	E	
50. -Spartan 500 Index Fund (X)	A	Dividend	K	T	Distributed	01/21/15	M		
51. IRA # 9 (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
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

Page 7 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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)
52. -Fidelity Contrafund	B	Dividend	N	T					
53. -Blackrock Global Allocation Fund	C	Dividend	N	T					
54. -Vanguard Midcap Fund	A	Dividend	K	T					
55. -SPDR Midcap 400 ETF		None	M	T					
56. -Ivy Asset Strategy Fund		None			Sold	02/02/15	N	G	
57. -Tweedy Browne Global Value Fund	D	Dividend	O	T					
58. -Blackrock Equity Dividend Fund		None			Sold	03/12/14	M	D	
59. -Brown Bros Core Select Fund	B	Dividend	N	T					
60. -SPDR S & P 500 ETF		None	O	T					
61. -Spartan 500 Index Fund	D	Dividend	P1	T	Buy (add'l)	02/02/15	O		
62. -Baron Growth Fund		None	M	T					
63. -Spartan Total Market Index	D	Dividend	O	T	Buy (add'l)	04/22/15	L		
64.					Buy (add'l)	06/15/15	J		
65. -Fidelity Gov't Cash Reserves	A	Dividend	M	T	Buy	03/31/15	M		
66. IRA # 10 (H)									
67. -Fidelity Gov't Cash Reserves	A	Dividend	L	T					
68. -Tweedy Browne Global Value Fund	B	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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)
69. -Vanguard Midcap Index Fund	A	Dividend	K	T					
70. -Ivy Asset Strategy Fund		None			Sold	02/02/15	L	D	
71. -Fidelity Low Priced Stock Fund	B	Dividend	M	T	Buy (add'l)	04/23/15	J		
72.					Buy (add'l)	06/15/15	J		
73. -Blackrock Global Allocation Fund	A	Dividend	K	T					
74. -Brown Brothers Core Select Fund	A	Dividend	N	T					
75. -SPDR S & P 500 ETF		None	N	T					
76. -Fidelity Contrafund	A	Dividend	J	T					
77. -Royce Total Return Fund		None			Buy (add'l)	02/02/15	L		
78.					Sold	11/16/15	L		
79. -iShares Core S&P Small Cap ETF	A	Dividend	L	T	Buy	11/17/15	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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

Last year on page 6, line 49, Western Asset Govt MMF was reported. This fund was converted into Fidelity Cash Reserves, reported last year at page 6, line 47.

Lines 49 & 58 were omissions last year.

Last year SPDR Mid Cap 400 appeared in both lines 66 and 55. It should have appeared only in line 55.

The entry in line 43 was transferred to line 50; i.e., it was transferred from Trust # 10 & Trust # 11.

Line 57 - Name was incorrect last year.

Line 63 - Previously reported on line 60 of Report for 2014 as "Spartan 500 Index" by mistake.

Line 67 - Name change.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

PRESKA, LORETTA A.

Date of Report

08/08/2016

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/ 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