

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) McKENNA, LAWRENCE M.	2. Court or Organization Southern District of New York	3. Date of Report 06/29/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States District Court 500 Pearl Street (1640) New York, N.Y. 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. ADMINISTRATOR

ESTATE

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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FINANCIAL DISCLOSURE REPORT
Page 2 of 10

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

06/29/2010

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. 2009	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. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____

FINANCIAL DISCLOSURE REPORT
Page 3 of 10

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

06/29/2010

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
McKENNA, LAWRENCE M.

Date of Report
06/29/2010

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. CITIBANK (Checking)		None	J	T					
2. EMIGRANT SAVINGS BANK (Savings)	A	Interest	K	T					
3. UBS PAINE WEBBER RET. MONEY FUND (now DEPOSIT ACCT))	A	Interest	J	T					
4. LORD ABBETT INCOME FUND CLASS C (FUND)	A	Interest	J	T					
5. LORD ABBETT GROWTH OPPORTUNITIES (FUND)		None	J	T					
6. ALTRIA (Common)	A	Dividend	J	T					
7. IBM (Common)	A	Dividend	J	T					
8. BIOSONICS (Common)		None	J	T					
9. MCI WORLD (Common)		None	J	T					
10. SONORAN (Common)		None	J	T					
11. MERCK (Common) (Stock Invest. Plan)	A	Dividend	J	T					
12. CISCO SYSTEMS (Common)		None	J	T					
13. AVAYA (Common)		None	J	T					
14. ASTROPOWER (Common)		None	J	T					
15. MONSANTO (Common)	A	Dividend	J	T					
16. EASTMAN KODAK (Common) (Stock Inv. Plan)		None	J	T	Sold	10/02/09	J	A	
17. H.J. HEINZ (Common) (Stock Inv. Plan)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

McKENNA, LAWRENCE M.

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06/29/2010

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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)
18. FEDEX (Common) (Stock Invest. Plan)	A	Dividend	J	T					
19. EXXON MOBIL (Common)	A	Dividend	J	T					
20. HONDA MOTORS (Common)	A	Dividend	J	T					
21. GOOGLE (Common)		None	K	T					
22. ALCATEL-LUCENT (ADR)		None	J	T					
23. WILLIAM BLAIR INT'L GROWTH FUND (FUND)	A	Dividend	J	T					
24. DAVIS NY VENTURE FUND (FUND)	A	Dividend	J	T					
25. DELAWARE INT'L VALUE EQUITY FUND (FUND)	A	Dividend	J	T	Sold	09/17/09	J	A	
26. T. ROWE PRICE VALUE FUND (FUND)	A	Dividend	J	T					
27. JANUS ADVISOR FORTY FUND (FUND)	A	Dividend	J	T					
28. GAMCO GROWTH FUND (FUND)	A	None	J	T					
29. DWS CORE PLUS INCOME FUND (FUND)	A	Dividend	J	T					
30. PIMCO HIGH YIELD FUND (FUND)	A	Dividend	J	T					
31. AMERICAN CENTURY INT'L (BOND)	A	Dividend	J	T					
32. ROYCE TOTAL RETURN FUND (FUND)	A	Dividend	J	T					
33. CITIBANK DEPOSIT PROGRAM	A	Interest	J	T					
34. SB MONEY FUNDS CASH PORT. (FUND)	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

C = \$2,501 - \$5,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less

G = \$100,001 - \$1,000,000

H1 = \$1,000,001 - \$5,000,000

I = More than \$5,000,000

3. Value Method Codes
(See Column C2)

N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

FINANCIAL DISCLOSURE REPORT
Page 6 of 10

Name of Person Reporting
McKENNA, LAWRENCE M.

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06/29/2010

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35. DUPONT 4.50 PFD	A	Dividend	J	T					
36. FIRST ENERGY (Common)	A	Dividend	J	T					
37. KRAFT (Common)	A	Dividend	J	T					
38. LSI LOGIC (Common)		None	J	T					
39. DREYFUS PREMIER EMERGING MARKETS (Fund)	A	Dividend	J	T					
40. ADVANTA BANK (CD)	A	Interest	K	T	Matured	08/07/09	K	A	
41. PIMCO TOTAL RETURN FUND (FUND)	A	Dividend	J	T					
42. PHILIP MORRIS (Common)	A	Dividend	J	T					
43. ALLIANZ 8.375% (BOND)	A	Dividend	K	T					
44. HARDING LOEVNER EMERGING MARKETS (FUND)	A	Dividend	J	T					
45. HARDING LOEVNER EMERGING MARKETS (FUND)	A	Dividend	J	T					
46. LORD ABBETT DEVELOPING GROWTH (FUND)	A	Dividend	J	T					
47. LORD ABBETT AFFILIATED (FUND)	A	Dividend	J	T					
48. BANK OF BARODA (CD)	A	Interest	K	T	Matured	02/27/09	K		
49. FIRST REGIONAL BANK-CA (CD)	A	Interest	J	T	Matured	11/30/09	J		
50. CITIGROUP 8.50% (PFD)	A	Interest	K	T	Exch.	07/30/09	K		
51. NATIONAL CITY BANK OH (CD)	A	Interest	K	T	Matured	02/27/09	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	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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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

McKENNA, LAWRENCE M.

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52. FIRST BANK PUERTO RICO (CD)	A	Interest	K	T	Buy	02/27/09			
53. CAPMARK BANK (CD)	A	Interest	K	T	Buy	02/25/09			
54. CITIGROUP, INC.	A	Interest	K	T	Exch.	07/30/09	K	A	
55. ALABAMA POWER (BOND)	A	Interest	K	T	Buy	08/18/09			
56. ENTERGY TEXAS (BOND)	A	Interest	K	T	Buy	08/18/09			
57. STERLING SAV. BK. (CD)	A	Interest	K	T	Buy	08/18/09			
58. NORTHSHORE COMNTY. BK. (CD)	A	Interest	K	T	Buy	08/18/09			
59. AM. ELEC. POWER (BOND)	A	Interest	K	T	Buy	08/06/09			
60. CITIGROUP, INC.	A	Interest	K	T	Sold	08/06/09	K	A	
61. FIRST BANK PUERTO RICO (CD)	A	Interest	K	T	Redeemed	08/20/09	K	A	
62. AM. EXP. FSB (CD)	A	Interest	J	T	Buy	12/02/09			
63. UBS PACE GOVT. FIXED INC. (FUND)	A	Interest	J	T	Buy	09/21/09			
64. UBS PACE INTER. FIXED INC. (FUND)	A	Interest	J	T	Buy	09/21/09			
65. UBS PACE STRATEGIC FIXED INC. (FUND)	A	Interest	J	T	Buy	09/21/09			
66. UBS PACE SMALL/MED VALUE (FUND)	A	None	J	T	Buy	09/21/09			
67. UBS PACE MONEY MARKET (FUND)	A	Interest	J	T	Buy	09/21/09			
68. UBS PACE HIGH YIELD (FUND)	A	Interest	J	T	Buy	09/21/09			

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	H = \$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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FINANCIAL DISCLOSURE REPORT
Page 8 of 10

Name of Person Reporting
McKENNA, LAWRENCE M.

Date of Report
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69. UBS PACE INTL EQUITY (FUND)	A	None	J	T	Buy	09/21/09			
70. UBS PACE MUNI. FIXED INC. (FUND)	A	Interest	J	T	Buy	09/21/09			
71. WESTERN ASSET MONEY MARKET (FUND)	A	Interest	J	T	Buy	02/10/09	J		
72. WESTERN ASSET MONEY MARKET (FUND)	A	Interest	J	T	Sold	07/21/09	J	A	
73. GROWTH FUND OF AMERICA (FUND)	A	None	J	T	Buy	02/10/09	J		
74. GROWTH FUND OF AMERICA (FUND)	A	None	J	T	Sold	09/21/09	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

06/29/2010

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

The estate listed in I.1 has no assets.

FINANCIAL DISCLOSURE REPORT
Page 10 of 10

Name of Person Reporting	Date of Report
McKENNA, LAWRENCE M.	06/29/2010

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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544