

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Swain, Laura T.	2. Court or Organization US District Court - Southern District of New York	3. Date of Report 05/07/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Daniel Patrick Moynihan U.S. Courthouse 500 Pearl Street Suite 1640 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. Board Member	Havens Relief Fund Society
2. Trustee	Trust #1
3.	
4.	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2018

(salary and benefits)

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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. HSBC Bank (cash)	A	Interest	K	T					
2. Citibank (cash)	A	Interest	J	T					
3. Synchrony Bank (cash)	A	Interest	L	T					
4. [REDACTED] Employees Stock Ownership Plan (no control)	A	Dividend	K	T					
5. IRA #1 (H)									
6. Schwab Cash Reserves Sweep Shares (SWSXX) (cash)	A	Int./Div.	K	T					
7. Energy Select Sector (XLE)	A	Dividend			Sold (part)	01/16/18	J	A	
8.					Sold (part)	01/17/18	J	A	
9.					Sold	11/13/18	J		
10. FIDELITY MSCI INDUSTRIALS (FIDU)	A	Dividend	J	T	Buy	01/17/18	J		
11.					Sold (part)	05/01/18	J		
12. FIDELITY MSCI CONS DISCR (FDIS)	A	Dividend	J	T	Buy	01/17/18	J		
13.					Buy (add'l)	05/01/18	J		
14.					Buy (add'l)	10/10/18	J		
15. FIDELITY MSCI CONS STPLS (FSTA)	A	Dividend	J	T	Buy	11/13/18	J		
16. FIDELITY MSCI FINANCIALS (FNCL)	A	Dividend	J	T	Buy	01/17/18	J		
17.					Sold (part)	10/10/18	J		

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	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	H2 = 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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18. FIDELITY MSCI HEALTH (FHLC)	A	Dividend	J	T	Buy	01/17/18	J		
19.					Buy (add'l)	10/10/18	J		
20. FIDELITY MSCI INFOR TECH (FTEC)	A	Dividend	J	T	Buy	01/17/18	J		
21.					Sold (part)	06/27/18	J	A	
22.					Buy (add'l)	10/10/18	J		
23.					Buy (add'l)	12/24/18	J		
24. Flexshares Exg Trd FD IBOXX 5 yr TGT Dur TIPS Index Fund (TDTF)	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
25.					Sold (part)	11/28/18	J		
26. Invesco Optimum Yield (formerly Powershares DB Optm Yld ETF) (PDBC)	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
27. Invesco Senior Loan (formerly Powershares Senior Loan ETF) (BKLN)	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
28.					Buy (add'l)	06/27/18	J		
29.					Sold (part)	11/13/18	J		
30. Invesco Variable Rate Preferred ETF (VRP)	A	Dividend			Buy	06/27/18	J		
31.					Sold	11/28/18	J		
32. iShares Bond ETF Agency Bond (AGZ)	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
33. iShares CMBS ETF (CMBS)	A	Dividend	J	T	Buy	11/28/18	J		
34. iShares MSCI ETF Minimum Volatility (USMV) (Y)									

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	
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35. iShares TIPS Bond ETF (TIP)	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
36. iShares 7-10 YR TRSURYBOND ETF (IEF) (Y)									
37. ROBO Gbl Rbtcs And Automatn Indx (ROBO)		None			Sold (part)	01/16/18	J	A	
38.					Sold	10/10/18	J	A	
39. SPDR Barclays ETF High Yld Very Liquid Index (JNK)	A	Dividend			Buy (add'l)	01/16/18	J		
40.					Sold	11/28/18	J		
41. SPDR Dow Jones REIT (RWR)	A	Dividend	K	T	Buy (add'l)	01/16/18	J		
42.					Buy (add'l)	10/10/18	J		
43.					Buy (add'l)	11/28/18	J		
44. SPDR Euro STOXX 50 ETF (FEZ)	A	Dividend			Buy (add'l)	01/16/18	J		
45.					Sold	05/01/18	J	A	
46. SPDR Intrmdt Trm Crprate Bnd ETF	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
47. SPDR Long Term Treasury (SPTL)	A	Dividend	J	T	Buy	11/13/18	J		
48.					Buy (add'l)	11/28/18	J		
49. SPDR Small Cap ETF (SPSM)	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
50.					Sold (part)	06/27/18	J	A	
51.					Sold (part)	11/28/18	J	A	

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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.					Buy (add'l)	12/24/18	J		
53. Vanguard FTSE ETF Dev Mkts (VEA)	B	Dividend	K	T	Sold (part)	01/16/18	J	A	
54.					Buy (add'l)	10/05/18	J		
55.					Sold (part)	11/13/18	J		
56.					Sold (part)	11/28/18	J		
57.					Buy (add'l)	12/24/18	J		
58. Vanguard FTSE Emerging Mkts (VWO)	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
59.					Buy (add'l)	05/01/18	J		
60.					Sold (part)	06/27/18	J		
61.					Sold (part)	11/13/18	J		
62.					Sold (part)	11/28/18	J		
63. Vanguard Intermediate Term Gov ETF (VGIT)	A	Dividend	K	T	Buy (add'l)	01/16/18	J		
64.					Buy (add'l)	11/28/18	J		
65. Vanguard Large Cap ETF (VV)	A	Dividend	J	T	Sold (part)	01/16/18	J	A	
66.					Sold (part)	01/17/18	K	C	
67.					Sold (part)	06/27/18	J	A	
68.					Sold (part)	11/13/18	J	A	

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.					Sold (part)	11/28/18	J	A	
70. Vanguard Long Term Cor Bd ETF (VCLT)	A	Dividend	J	T	Buy (add'l)	01/16/18	J		
71. Vanguard Mtrg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	K	T	Buy (add'l)	01/16/18	J		
72.					Buy (add'l)	11/28/18	J		
73. IRA #2 (H)									
74. CITIBANK CASH MONEY FUNDS (Y)									
75. WESTERN ASSET INSTL GOVT (X) (INGXX)	A	Interest	J	T					
76. JP MORGAN INTREPID GROWTH FUND CLASS A (JIGAX)		None			Sold	03/06/18	M	E	
77. JP MORGAN VALUE ADVANTAGE FUND (JVAAX)		None			Sold	03/06/18	M	C	
78. JP MORGAN STRATEGIC INCOME OPPORTUNITY (JSOAX)	A	Dividend			Sold	03/06/18	K		
79. JP MORGAN CORE PLUS BOND FUND CLASS A (ONIA)	A	Dividend			Sold	03/06/18	K		
80. ISHARES TR RUSSELL 1000 VALUE ETF (IWD)	B	Dividend	L	T	Buy	03/06/18	L		
81.					Sold (part)	03/19/18	J	A	
82.					Buy (add'l)	04/02/18	J		
83.					Sold (part)	05/07/18	J		
84.					Sold (part)	08/02/18	J	A	
85. ISHARES TR RUSSELL 1000 GROWTH ETF (IWF)	A	Dividend	L	T	Buy	03/06/18	L		

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86.					Sold (part)	03/19/18	J	A	
87.					Buy (add'l)	04/02/18	J		
88.					Sold (part)	05/07/18	J		
89.					Sold (part)	08/02/18	J	A	
90. ISHARES TR RUSSELL 2000 ETF (IWM)	A	Dividend	J	T	Buy	03/06/18	J		
91.					Sold (part)	03/19/18	J	A	
92.					Buy (add'l)	04/02/18	J		
93.					Sold (part)	05/07/18	J	A	
94.					Sold (part)	08/02/18	J	A	
95. ISHARES TR JPMORGAN EMERGING MKTS (EMB)	A	Dividend	J	T	Buy	03/06/18	J		
96.					Sold (part)	04/02/18	J		
97.					Sold (part)	05/07/18	J		
98.					Buy (add'l)	08/02/18	J		
99. ISHARES TR SHORT-TERM CORP BD (IGSB)	A	Dividend	J	T	Buy	08/02/18	J		
100. VANGUARD BD INDEX FDS (BND)	A	Dividend	K	T	Buy	03/06/18	K		
101.					Sold (part)	03/19/18	J	A	
102.					Sold (part)	04/02/18	J	A	

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103.					Buy (add'l)	05/07/18	J		
104.					Buy (add'l)	08/02/18	J		
105. VANGUARD TAX MANAGED INTL (VEA)	B	Dividend	L	T	Buy	03/06/18	L		
106.					Sold (part)	03/19/18	J		
107.					Sold (part)	04/02/18	J		
108.					Sold (part)	05/07/18	J	A	
109.					Buy (add'l)	08/02/18	J		
110. VANGUARD CHARLOTTE FDS (BNDX)	A	Dividend	J	T	Buy	03/06/18	J		
111.					Sold (part)	04/02/18	J	A	
112.					Sold (part)	05/07/18	J	A	
113.					Buy (add'l)	08/02/18	J		
114. VANGUARD INTL EQUITY INDEX (VWO)	A	Dividend	K	T	Buy	03/06/18	K		
115.					Sold (part)	03/19/18	J		
116.					Sold (part)	04/02/18	J		
117.					Buy (add'l)	05/07/18	J		
118.					Sold (part)	08/02/18	J		
119. IRA #3 (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	

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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)
120. Western Asset Instl Govt MMF (INGXX)	A	Interest	J	T					
121. iShares TR Russell 1000 Value ETF (IWD)	B	Dividend	K	T	Buy (add'l)	02/01/18	J		
122.					Buy (add'l)	04/02/18	J		
123.					Sold (part)	08/02/18	J	A	
124. iShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	K	T	Sold (part)	02/01/18	J	A	
125.					Buy (add'l)	04/02/18	J		
126.					Sold (part)	05/07/18	J	A	
127.					Sold (part)	08/02/18	J	B	
128. iShares TR Russell 2000 ETF (IWM)	A	Dividend	J	T	Buy (add'l)	02/01/18	J		
129.					Sold (part)	04/02/18	J	A	
130.					Sold (part)	05/07/18	J	A	
131.					Sold (part)	08/02/18	J	A	
132. iShares TR JP Morgan USD Emerging Mkts (EMB)	A	Dividend	J	T	Buy	02/01/18	J		
133.					Sold (part)	04/02/18	J		
134.					Sold (part)	05/07/18	J		
135.					Buy (add'l)	08/02/18	J		
136. iSHARES TR SHORT-TERM CORP BD (IGSB)	A	Dividend	J	T	Buy	08/02/18	J		

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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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)
137. SPDR SER TR Barclays High Yield Bond ETF (JNK)	A	Dividend			Sold	02/01/18	J	A	
138. Vanguard Bd Index Fd Inc Total Bd Market ETF (BND)	A	Dividend	K	T	Buy (add'l)	02/01/18	J		
139.					Sold (part)	04/02/18	J		
140.					Buy (add'l)	05/07/18	J		
141.					Buy (add'l)	08/02/18	J		
142. Vanguard TaxManaged Intl Fd FTSE (VEA)	B	Dividend	K	T	Sold (part)	02/01/18	J	A	
143.					Sold (part)	04/02/18	J	A	
144.					Sold (part)	05/07/18	J	A	
145.					Buy (add'l)	08/02/18	J		
146. Vanguard Charlotte Funds Total Intl Bd Index Fund ETF (BNDX)	A	Dividend	J	T	Sold (part)	02/01/18	J	A	
147.					Sold (part)	04/02/18	J	A	
148.					Sold (part)	05/07/18	J	A	
149.					Buy (add'l)	08/02/18	J		
150. Vanguard Intl Equity Index Fds FTSE (VWO)	A	Dividend	K	T	Sold (part)	02/01/18	J	A	
151.					Sold (part)	04/02/18	J	A	
152.					Buy (add'l)	05/07/18	J		
153.					Sold (part)	08/02/18	J	A	

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

The trust identified in Part I contains no reportable assets.

Part VII, line 4: The investments of this ESOP, which was established in 2009, are not participant-directed. The information reported is the most recent available information, which is as of 12/31/2016.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Laura T. Swain**

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
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