

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/11/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address Daniel Patrick Moynihan U.S. Courthouse 500 Pearl Street 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Havens Relief Fund Society
2. Trustee	Trust #1 (no reportable assets)
3.	
4.	
5.	

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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Name of Person Reporting

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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. 2019	(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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1. New York County Lawyers Association	Engraved Glass Award	\$700.00 (estimated)
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Swain, Laura T.

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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. Individual Assets (H)									
2. HSBC Bank (cash)	A	Interest	K	T					
3. Citibank (cash)	A	Interest	J	T					
4. Synchrony Bank (cash)	A	Interest	J	T					
5. ██████████ Employees Stock Ownership Plan (no control)	A	Dividend	K	T					
6. IRA #1 (H)									
7. Schwab Cash Reserves Sweep Shares (SWSXX) (cash)	A	Dividend			Closed	03/25/19	K		
8. Schwab Government Money Fund (SWGXX)	A	Dividend	J	T	Open	03/26/19	K		
9. Aberdeen Standard Physcl Swiss Gld ETF (SGOL)		None	J	T	Buy	10/03/19	J		
10. Fidelity MSCI Industrials (FIDU)	A	Dividend	J	T					
11. Fidelity MSCI Comm SRV Index (FCOM)	A	Dividend	J	T	Buy	01/07/19	J		
12.					Buy (add'l)	08/14/19	J		
13.					Sold (part)	09/20/19	J		
14. Fidelity MSCI Cons Discr (FDIS)	A	Dividend	J	T	Sold (part)	09/20/19	J		
15.					Buy (add'l)	11/06/19	J		
16. Fidelity MSCI Cons Stpls (FSTA)	A	Dividend	J	T	Buy (add'l)	08/14/19	J		
17.					Sold (part)	11/06/19	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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18. Fidelity MSCI Financials (FNCL)	A	Dividend			Buy (add'l)	03/06/19	J		
19.					Sold	09/06/19	J		
20. Fidelity MSCI Health (FHLC)	A	Dividend	J	T	Sold (part)	08/14/19	J		
21. Fidelity MSCI Infor Tech (FTEC)	A	Dividend	K	T	Sold (part)	09/20/19	J		
22.					Buy (add'l)	11/06/19	J		
23. Flexshares Exg Trd FD IBOXX 5 yr TGT Dur TIPS Index Fund (TDTF)		None			Sold	03/06/19	J		
24. Invesco Optimum Yield (formerly Powershares DB Optm Yld ETF) (PDBC)	A	Dividend	K	T	Buy (add'l)	09/06/19	J		
25.					Sold (part)	09/20/19	J		
26. Invesco Senior Loan (formerly Powershares Senior Loan ETF) (BKLN)		None			Sold	03/06/19	J		
27. Ishares Intermediate-Term (IGIB)	A	Dividend	J	T	Buy	11/06/19	J		
28. IShares Bond ETF Agency Bond (AGZ)	A	Dividend	J	T					
29. Ishares Broad Usd Hg Yld (USHY)	A	Dividend	J	T	Buy	03/06/19	J		
30. IShares CMBS ETF (CMBS)	A	Dividend	J	T					
31. Ishares Currency Holdings MSCI (HEZU)	A	Dividend	J	T	Buy	10/03/19	J		
32. IShares TIPS Bond ETF (TIP)	A	Dividend	J	T					
33. SPDR Bloomberg Barclays Intl Treasury ETF (BWX)		None			Buy	08/14/19	J		
34.					Sold	10/03/19	J		

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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. SPDR Dow Jones REIT (RWR)	A	Dividend	K	T	Sold (part)	01/07/19	J		
36.					Buy (add'l)	03/06/19	J		
37.					Sold (part)	05/01/19	J		
38.					Buy (add'l)	09/06/19	J		
39.					Sold (part)	09/20/19	J		
40. SPDR Intrmdt Trm Crprate Bnd ETF (SPIB)	A	Dividend	J	T	Sold (part)	09/20/19	J		
41. SPDR Long Term Treasury (SPTL)	A	Dividend	J	T	Sold (part)	03/06/19	J		
42.					Buy (add'l)	10/03/19	J		
43.					Sold (part)	11/06/19	J		
44. SPDR Small Cap ETF (SPSM)	A	Dividend	K	T	Buy (add'l)	03/06/19	J		
45.					Sold (part)	09/20/19	J		
46.					Sold (part)	10/03/19	J		
47.					Sold (part)	11/06/19	J		
48. Vaneck Vectors JP Morgan Local Currency (EMLC)		None			Buy	03/06/19	J		
49.					Sold	08/14/19	J		
50. Vanguard Long Term Cor Bd ETF (VCLT)	A	Dividend	J	T	Sold (part)	09/20/19	J		
51. Vanguard FTSE ETF Dev Mkts (VEA)	B	Dividend	K	T	Buy (add'l)	03/06/19	J		

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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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	05/01/19	J		
53.					Buy (add'l)	08/08/19	J		
54.					Sold (part)	08/14/19	J		
55.					Sold (part)	09/20/19	J		
56.					Sold (part)	10/03/19	J		
57. Vanguard FTSE Emerging Mkts (VWO)	A	Dividend	J	T	Buy (add'l)	03/06/19	J		
58.					Sold (part)	09/20/19	J		
59.					Buy (add'l)	11/06/19	J		
60. Vanguard Intermediate Term Gov ETF (VGIT)	A	Dividend			Sold (part)	09/20/19	J		
61.					Sold	11/06/19	K		
62. Vanguard Large Cap ETF (VV)	A	Dividend	J	T	Buy (add'l)	09/06/19	J		
63.					Sold	10/03/19	J		
64.					Buy	11/06/19	J		
65. Vanguard Mtrg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	J	T	Sold (part)	09/20/19	J		
66.					Sold (part)	11/06/19	J		
67. IRA #2 (H)									
68. Western Asset Instl Govt (INGXX)	A	Interest	J	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

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
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. IShares Gold TR (IAU)		None	J	T	Buy	10/07/19	J		
70. IShares TR Russell 1000 Value ETF (IWD)	B	Dividend	L	T	Buy (add'l)	01/16/19	J		
71.					Sold (part)	06/17/19	J	A	
72. IShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	L	T	Buy (add'l)	01/16/19	J		
73.					Sold (part)	05/07/19	J	A	
74.					Sold (part)	06/17/19	J	A	
75. Ishares TR Russell 2000 ETF (IWM)	A	Dividend	J	T	Sold (part)	01/16/19	J		
76. IShares TR MSCI All Country Asia (AAXJ)	A	Dividend	J	T	Buy	02/28/19	J		
77.					Sold (part)	06/17/19	J		
78. IShares TR JPMorgan Emerging Mkts (EMB)	A	Dividend	J	T					
79. Pimco ETF TR Enhanced Short Mat (MINT)	A	Dividend	J	T	Buy	01/16/19	J		
80. Vanguard Bd Index Fds (BND)	A	Dividend	K	T	Sold (part)	01/16/19	J		
81.					Sold (part)	09/04/19	J	A	
82.					Sold (part)	10/07/19	J	A	
83. Vanguard Tax Managed Intl (VEA)	B	Dividend	L	T	Buy (add'l)	01/16/19	J		
84.					Sold (part)	02/28/19	J		
85.					Sold (part)	06/17/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

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

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

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86. Vanguard Charlotte Fds (BNDX)	A	Dividend	J	T	Sold (part)	09/04/19	J	A	
87. Vanguard Intl Equity Index (VWO)	A	Dividend	K	T	Sold (part)	01/16/19	J		
88.					Sold (part)	02/28/19	J		
89. IShares TR Short-Term Corp BD (IGSB)		None			Sold (part)	05/07/19	J	A	
90.					Buy (add'l)	06/17/19	J		
91.					Sold	10/07/19	J	A	
92. IRA #3 (H)									
93. Western Asset Instl Govt (INGXX) (Y)									
94. IShares Gold TR (IAU)		None	J	T	Buy	10/07/19	J		
95. IShares TR Russell 1000 Value ETF (IWD)	B	Dividend	L	T	Sold (part)	06/17/19	J	A	
96.					Buy (add'l)	10/07/19	J		
97. IShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	L	T	Sold (part)	05/07/19	J	A	
98.					Sold (part)	06/17/19	J	A	
99.					Buy (add'l)	10/07/19	J		
100. Ishares TR Russell 2000 ETF (IWM)	A	Dividend	J	T	Sold (part)	01/16/19	J	A	
101. IShares TR MSCI All Country Asia (AAXJ)	A	Dividend	J	T	Buy	02/28/19	J		
102.					Sold (part)	06/17/19	J		

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103. IShares TR JPMorgan Emerging Mkts (EMB)	A	Dividend	J	T	Sold (part)	05/07/19	J	A	
104.					Buy (add'l)	06/17/19	J		
105.					Sold (part)	10/07/19	J	A	
106. Pimco ETF TR Enhanced Short Mat (MINT)	A	Dividend	J	T	Buy	01/16/19	J		
107.					Sold (part)	02/28/19	J	A	
108. Vanguard Bd Index Fds (BND)	A	Dividend	K	T	Sold (part)	01/16/19	J		
109.					Sold (part)	09/04/19	J	A	
110.					Sold (part)	10/07/19	J	A	
111. Vanguard Tax Managed Intl (VEA)	B	Dividend	L	T	Buy (add'l)	10/07/19	J		
112.					Sold (part)	06/17/19	J	A	
113. Vanguard Charlotte Fds (BNDX)	A	Dividend	J	T	Sold (part)	09/04/19	J	A	
114. Vanguard Intl Equity Index (VWO)	A	Dividend	K	T	Sold (part)	01/16/19	J	A	
115.					Sold (part)	02/28/19	J	A	
116. IShares TR Short-Term Corp BD (IGSB)	A	Dividend			Sold (part)	05/07/19	J	A	
117.					Buy (add'l)	06/17/19	J		
118.					Sold	10/07/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

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

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Swain, Laura T.

Date of Report

08/11/2020

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

Part VII, line 5: 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.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Swain, Laura T.

Date of Report

08/11/2020

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