

FD-10
Rev. 1/93

FINANCIAL DISCLOSURE REPORT

Report Required by the Ethics
Reform Act of 1988, Pub. L. No.
101-194, November 30, 1988
(5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (last name, first, middle initial) Schwartz, Allen G.	2. Court or Organization U.S. District Court Southern District of New York	3. Date of Report 10/29/93
4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time) United States District Judge - Nominee	5. Report Type (check appropriate type) ☒ Nomination, Date 10/27/93 ☒ Initial ☐ Annual ☐ Final	6. Reporting Period 1/1/92-10/15/93
7. Chambers or Office Address Proskauer Rose Goetz & Mendelsohn 1585 Broadway New York, N.Y. 10036	8. On the basis of the information contained in this Report, it is, in my opinion, in compliance with applicable law and regulations ☐ Reviewing Officer Signature _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts,
checking the NONE box for each section where you have no reportable information. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions)

(See Schedule I attached)

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☐

NONE (No reportable agreements)

(See Schedule II attached)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE
(Husband only)

SOURCE AND TYPE

GROSS INCOME
(yours, not spouse's)☐

NONE (No reportable non-investment income)

1 Proskauer Rose	Partnership allocation	\$ 760,000
3 Schwartz Klink	Member distributions	\$ 16,000
3 Joan Schwartz	Self-employed - author - royalty income	\$ 30,000
4 (spouse)		\$
5		\$
		\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Allen G. Schwartz

Date of Report

10/29/93

IV. REIMBURSEMENTS and GIFTS – transportation, lodging, food, entertainment.
 (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of Instructions.)

SOURCEDESCRIPTION☒

NONE (No such reportable reimbursements or gifts)

1

2

3

4

5

6

7

8

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCEDESCRIPTIONVALUE☒

NONE (No such reportable gifts)

1

2

3

4

\$

\$

\$

\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of Instructions.)

CREDITORDESCRIPTIONVALUE CODE*☐

NONE (No reportable liabilities)

1

Anna Dembner, as Executrix

Promissory notes re. purchase of stock

K

2

in Red Dembner Enterprises, Inc. (which

3

changed its name to Barricade Books, Inc.)

4

(this obligation, though technically

5

mine, has been assumed by Barricade

6

Books, Inc. which has purchased all

7

of my stock)

* VALUE CODES: J = \$15,000 or less K = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 N = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
Allen G. SchwartzDate of Report
10/29/93

VII. INVESTMENTS and TRUSTS – income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the parentheticals (S), (J), (W), (K), (L), (P), (C), (D), (E), (F), (G), (H), (I), (M), (N), (O), (P), (Q), (R), (S), (T), (U), (V), (W), (X), (Y), (Z), (AA), (AB), (AC), (AD), (AE), (AF), (AG), (AH), (AI), (AJ), (AK), (AL), (AM), (AN), (AO), (AP), (AQ), (AR), (AS), (AT), (AU), (AV), (AW), (AX), (AY), (AZ), (BA), (BB), (BC), (BD), (BE), (BF), (BG), (BH), (BI), (BJ), (BK), (BL), (BM), (BN), (BO), (BP), (BQ), (BR), (BS), (BT), (BU), (BV), (BW), (BX), (BY), (BZ), (CA), (CB), (CC), (CD), (CE), (CF), (CG), (CH), (CI), (CJ), (CK), (CL), (CM), (CN), (CO), (CP), (CQ), (CR), (CS), (CT), (CU), (CV), (CW), (CX), (CY), (CZ), (DA), (DB), (DC), (DD), (DE), (DF), (DG), (DH), (DI), (DJ), (DK), (DL), (DM), (DN), (DO), (DP), (DQ), (DR), (DS), (DT), (DU), (DV), (DW), (DX), (DY), (DZ), (EA), (EB), (EC), (ED), (EE), (EF), (EG), (EH), (EI), (EJ), (EK), (EL), (EM), (EN), (EO), (EP), (EQ), (ER), (ES), (ET), (EU), (EV), (EW), (EX), (EY), (EZ), (FA), (FB), (FC), (FD), (FE), (FF), (FG), (FH), (FI), (FJ), (FK), (FL), (FM), (FN), (FO), (FP), (FQ), (FR), (FS), (FT), (FU), (FV), (FW), (FX), (FY), (FZ), (GA), (GB), (GC), (GD), (GE), (GF), (GG), (GH), (GI), (GJ), (GK), (GL), (GM), (GN), (GO), (GP), (GQ), (GR), (GS), (GT), (GU), (GV), (GW), (GX), (GY), (GZ), (HA), (HB), (HC), (HD), (HE), (HF), (HG), (HH), (HI), (HJ), (HK), (HL), (HM), (HN), (HO), (HP), (HQ), (HR), (HS), (HT), (HU), (HV), (HW), (HX), (HY), (HZ), (IA), (IB), (IC), (ID), (IE), (IF), (IG), (IH), (II), (IJ), (IK), (IL), (IM), (IN), (IO), (IP), (IQ), (IR), (IS), (IT), (IU), (IV), (IW), (IX), (IY), (IZ), (JA), (JB), (JC), (JD), (JE), (JF), (JG), (JH), (JI), (JJ), (JK), (JL), (JM), (JN), (JO), (JP), (JQ), (JR), (JS), (JT), (JU), (JV), (JW), (JX), (JY), (JZ), (KA), (KB), (KC), (KD), (KE), (KF), (KG), (KH), (KI), (KJ), (KK), (KL), (KM), (KN), (KO), (KP), (KQ), (KR), (KS), (KT), (KU), (KV), (KW), (KX), (KY), (KZ), (LA), (LB), (LC), (LD), (LE), (LF), (LG), (LH), (LI), (LJ), (LK), (LL), (LM), (LN), (LO), (LP), (LQ), (LR), (LS), (LT), (LU), (LV), (LW), (LX), (LY), (LZ), (MA), (MB), (MC), (MD), (ME), (MF), (MG), (MH), (MI), (MJ), (MK), (ML), (MM), (MN), (MO), (MP), (MQ), (MR), (MS), (MT), (MU), (MV), (MW), (MX), (MY), (MZ), (NA), (NB), (NC), (ND), (NE), (NF), (NG), (NH), (NI), (NJ), (NK), (NL), (NM), (NN), (NO), (NP), (NQ), (NR), (NS), (NT), (NU), (NV), (NW), (NX), (NY), (NZ), (OA), (OB), (OC), (OD), (OE), (OF), (OG), (OH), (OI), (OJ), (OK), (OL), (OM), (ON), (OO), (OP), (OQ), (OR), (OS), (OT), (OU), (OV), (OW), (OX), (OY), (OZ), (PA), (PB), (PC), (PD), (PE), (PF), (PG), (PH), (PI), (PJ), (PK), (PL), (PM), (PN), (PO), (PP), (PQ), (PR), (PS), (PT), (PU), (PV), (PW), (PX), (PY), (PZ), (QA), (QB), (QC), (QD), (QE), (QF), (QG), (QH), (QI), (QJ), (QK), (QL), (QM), (QN), (QO), (QP), (QQ), (QR), (QS), (QT), (QU), (QV), (QW), (QX), (QY), (QZ), (RA), (RB), (RC), (RD), (RE), (RF), (RG), (RH), (RI), (RJ), (RK), (RL), (RM), (RN), (RO), (RP), (RQ), (RR), (RS), (RT), (RU), (RV), (RW), (RX), (RY), (RZ), (SA), (SB), (SC), (SD), (SE), (SF), (SG), (SH), (SI), (SJ), (SK), (SL), (SM), (SN), (SO), (SP), (SQ), (SR), (SS), (ST), (SU), (SV), (SW), (SX), (SY), (SZ), (TA), (TB), (TC), (TD), (TE), (TF), (TG), (TH), (TI), (TJ), (TK), (TL), (TM), (TN), (TO), (TP), (TQ), (TR), (TS), (TU), (TV), (TW), (TX), (TY), (TZ), (UA), (UB), (UC), (UD), (UE), (UF), (UG), (UH), (UI), (UJ), (UK), (UL), (UM), (UN), (UO), (UP), (UQ), (UR), (US), (UT), (UU), (UV), (UW), (UX), (UY), (UZ), (VA), (VB), (VC), (VD), (VE), (VF), (VG), (VH), (VI), (VJ), (VK), (VL), (VM), (VN), (VO), (VP), (VQ), (VR), (VS), (VT), (VU), (VV), (VW), (VX), (VY), (VZ), (WA), (WB), (WC), (WD), (WE), (WF), (WG), (WH), (WI), (WJ), (WK), (WL), (WM), (WN), (WO), (WP), (WQ), (WR), (WS), (WT), (WU), (WV), (WW), (WX), (WY), (WZ), (XA), (XB), (XC), (XD), (XE), (XF), (XG), (XH), (XI), (XJ), (XK), (XL), (XM), (XN), (XO), (XP), (XQ), (XR), (XS), (XT), (XU), (XV), (XW), (XX), (XY), (XZ), (YA), (YB), (YC), (YD), (YE), (YF), (YG), (YH), (YI), (YJ), (YK), (YL), (YM), (YN), (YO), (YP), (YQ), (YR), (YS), (YT), (YU), (YV), (YW), (YX), (YZ), (ZA), (ZB), (ZC), (ZD), (ZE), (ZF), (ZG), (ZH), (ZI), (ZJ), (ZK), (ZL), (ZM), (ZN), (ZO), (ZP), (ZQ), (ZR), (ZS), (ZT), (ZU), (ZV), (ZW), (ZX), (ZY), (ZZ)									
	B. Income during reporting period	C. Gross value at end of reporting period		D. Transactions during reporting period					
		(1) Net: (A-B)	(2) Type (S, J, W, K, L, P, C, D, E, F, G, H, I, M, N, O, P, Q, R, S, T, U, V, W, X, Y, Z, AA, AB, AC, AD, AE, AF, AG, AH, AI, AJ, AK, AL, AM, AN, AO, AP, AQ, AR, AS, AT, AU, AV, AW, AX, AY, AZ, BA, BB, BC, BD, BE, BF, BG, BH, BI, BJ, BK, BL, BM, BN, BO, BP, BQ, BR, BS, BT, BU, BV, BW, BX, BY, BZ, CA, CB, CC, CD, CE, CF, CG, CH, CI, CJ, CK, CL, CM, CN, CO, CP, CQ, CR, CS, CT, CU, CV, CW, CX, CY, CZ, DA, DB, DC, DD, DE, DF, DG, DH, DI, DJ, DK, DL, DM, DN, DO, DP, DQ, DR, DS, DT, DU, DV, DW, DX, DY, DZ, EA, EB, EC, ED, EE, EF, EG, EH, EI, EJ, EK, EL, EM, EN, EO, EP, EQ, ER, ES, ET, EU, EV, EW, EX, EY, EZ, FA, FB, FC, FD, FE, FF, FG, FH, FI, FJ, FK, FL, FM, FN, FO, FP, FQ, FR, FS, FT, FU, FV, FW, FX, FY, FZ, GA, GB, GC, GD, GE, GF, GG, GH, GI, GJ, GK, GL, GM, GN, GO, GP, GQ, GR, GS, GT, GU, GV, GW, GX, GY, GZ, HA, HB, HC, HD, HE, HF, HG, HH, HI, HJ, HK, HL, HM, HN, HO, HP, HQ, HR, HS, HT, HU, HV, HW, HX, HY, HZ, IA, IB, IC, ID, IE, IF, IG, IH, II, IJ, IK, IL, IM, IN, IO, IP, IQ, IR, IS, IT, IU, IV, IW, IX, IY, IZ, JA, JB, JC, JD, JE, JF, JG, JH, JI, JJ, JK, JL, JM, JN, JO, JP, JQ, JR, JS, JT, JU, JV, JW, JX, JY, JZ, KA, KB, KC, KD, KE, KF, KG, KH, KI, KJ, KK, KL, KM, KN, KO, KP, KQ, KR, KS, KT, KU, KV, KW, KX, KY, KZ, LA, LB, LC, LD, LE, LF, LG, LH, LI, LJ, LK, LL, LM, LN, LO, LP, LQ, LR, LS, LT, LU, LV, LW, LX, LY, LZ, MA, MB, MC, MD, ME, MF, MG, MH, MI, MJ, MK, ML, MM, MN, MO, MP, MQ, MR, MS, MT, MU, MV, MW, MX, MY, MZ, NA, NB, NC, ND, NE, NF, NG, NH, NI, NJ, NK, NL, NM, NN, NO, NP, NQ, NR, NS, NT, NU, NV, NW, NX, NY, NZ, OA, OB, OC, OD, OE, OF, OG, OH, OI, OJ, OK, OL, OM, ON, OO, OP, OQ, OR, OS, OT, OU, OV, OW, OX, OY, OZ, PA, PB, PC, PD, PE, PF, PG, PH, PI, PJ, PK, PL, PM, PN, PO, PP, PQ, PR, PS, PT, PU, PV, PW, PX, PY, PZ, QA, QB, QC, QD, QE, QF, QG, QH, QI, QJ, QK, QL, QM, QN, QO, QP, QQ, QR, QS, QT, QU, QV, QW, QX, QY, QZ, RA, RB, RC, RD, RE, RF, RG, RH, RI, RJ, RK, RL, RM, RN, RO, RP, RQ, RR, RS, RT, RU, RV, RW, RX, RY, RZ, SA, SB, SC, SD, SE, SF, SG, SH, SI, SJ, SK, SL, SM, SN, SO, SP, SQ, SR, SS, ST, SU, SV, SW, SX, SY, SZ, TA, TB, TC, TD, TE, TF, TG, TH, TI, TJ, TK, TL, TM, TN, TO, TP, TQ, TR, TS, TU, TV, TW, TX, TY, TZ, UA, UB, UC, UD, UE, UF, UG, UH, UI, UJ, UK, UL, UM, UN, UO, UP, UQ, UR, US, UT, UU, UV, UW, UX, UY, UZ, VA, VB, VC, VD, VE, VF, VG, VH, VI, VJ, VK, VL, VM, VN, VO, VP, VQ, VR, VS, VT, VU, VV, VW, VX, VY, VZ, WA, WB, WC, WD, WE, WF, WG, WH, WI, WJ, WK, WL, WM, WN, WO, WP, WQ, WR, WS, WT, WU, WV, WW, WX, WY, WZ, XA, XB, XC, XD, XE, XF, XG, XH, XI, XJ, XK, XL, XM, XN, XO, XP, XQ, XR, XS, XT, XU, XV, XW, XX, XY, XZ, YA, YB, YC, YD, YE, YF, YG, YH, YI, YJ, YK, YL, YM, YN, YO, YP, YQ, YR, YS, YT, YU, YV, YW, YX, YZ, ZA, ZB, ZC, ZD, ZE, ZF, ZG, ZH, ZI, ZJ, ZK, ZL, ZM, ZN, ZO, ZP, ZQ, ZR, ZS, ZT, ZU, ZV, ZW, ZX, ZY, ZZ						
☐ NONE (No reportable income, assets, or transactions)									
1 Proskauer Rose (capital account)			M	T					
2 Proskauer Rose (Keogh Plan)			M	T					
3 Proskauer Rose (401-K)			J	T					
4 Schwartz Klink & Schreiber			L	W					
5 Gruntal & Co.	E	IRA ACCT	N	T					
6 Shearson Lehman Bros-(J)	D	EVA ACCT	N	T					
7 Barricade Books Inc. (2 COS)	A	common stock	J	W	sell all stock	7/1/93	M	F	Barricade Books
8 Barricade Books Inc.	A	loans	L	T	Co. - 1/13/92	1/13/92	M		Barricade Books
9 TSX, Inc. (J)	A	common stock	M	T					
10 Sheffield Exploration	A	common stock	J	T					
11 GNMA		common stock	J	T	sell	3/10/92	J		
12 AT&T		common stock	J	T	sell	2/10/92	J	A	
13 Amer Fin Corp.		common stock	J	T	sell	2/10/92	J	A	
14 Con Ed		common stock	J	T	sell	2/10/92	J		
15 Public Service		common stock	J	T	sell	2/10/92	J	A	
16 Pac Tel & Tel		common stock	J	T	sell	2/10/92	J		
17 SO Central Bell		common stock	J	T	sell	2/10/92	J		
18 Est. of Florence Schwartz	D	Dist	E	T					
19 NY City Bonds	A	Int.	L	T	sell	10/1/93			
20					See Schedule VII annexed (continued)				
1 Income/Gain Codes: (See Col. B1 & B4)	A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to \$5,000 D=\$5,001 to \$15,000 E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$250,000 H=\$250,001 to \$500,000 I=\$500,001 to \$1,000,000 J=More than \$1,000,000								
2 Value Codes: (See Col. C1 & C3)	A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to \$5,000 D=\$5,001 to \$15,000 E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$250,000 H=\$250,001 to \$500,000 I=\$500,001 to \$1,000,000 J=More than \$1,000,000								
3 Value Method Codes: (See Col. C2)	Q=Appraisal R=Book Value S=Cost (real estate only) T=Other U=Estimated								

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Allen G. Schwartz

Date of Report:

10/29/93

VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

[illegible]

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

Am Joh

Date October 29, 1993

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

**Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544**