

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 07/29/2021
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 01/01/2020 to 12/31/2020
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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Name of Person Reporting

Swain, Laura T.

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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. 2020	(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.		
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

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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)	(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)
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	K	T					
5. ██████████. Employees Stock Ownership Plan (no control)	A	Dividend	K	T					
6. Account #1 (H)									
7. Schwab Govt Money Fund (SWGXX) (cash) (Y)									
8. Aberdeen Standard Physcl Swiss Gld ETF (SGOL)		None			Buy (add'l)	05/05/20	J		
9.					Sold (part)	09/02/20	J		
10.					Sold (part)	09/08/20	J		
11.					Sold (part)	10/06/20	J		
12.					Sold	12/02/20	J		
13. Fidelity MSCI Industrials (FIDU)	A	Dividend			Sold	05/05/20	J		
14. Fidelity MSCI Comm SRV Index (FCOM)	A	Dividend	J	T	Sold (part)	01/07/20	J		
15.					Sold (part)	08/04/20	J		
16.					Sold (part)	09/08/20	J		
17. Fidelity MSCI Cons Discr (FDIS)	A	Dividend	J	T	Sold (part)	01/07/20	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	

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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 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)	(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)
18.					Sold (part)	05/05/20	J		
19.					Sold (part)	08/04/20	J		
20.					Sold (part)	09/08/20	J		
21.					Sold (part)	10/06/20	J		
22. Fidelity MSCI Cons Stpls (FSTA)	A	Dividend	J	T	Buy (add'l)	09/02/20	J		
23.					Sold (part)	09/08/20	J		
24.					Buy (add'l)	10/06/20	J		
25. Fidelity MSCI Health (FHLC)	A	Dividend	K	T	Sold (part)	01/07/20	J		
26.					Buy (add'l)	05/05/20	J		
27.					Sold (part)	09/08/20	J		
28.					Buy (add'l)	10/06/20	J		
29.					Buy (add'l)	12/02/20	J		
30. Fidelity MSCI Infor Tech (FTEC)	A	Dividend	J	T	Sold (part)	01/07/20	J		
31.					Sold (part)	08/04/20	J		
32.					Sold (part)	09/08/20	J		
33. Fidelity MSCI Utilities ETF (FUTY)	A	Dividend	J	T	Buy	09/02/20	J		
34. Invesco Optimum Yield (PDBC)		None	J	T	Sold (part)	01/07/20	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

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)	(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)
35.					Buy (add'l)	01/09/20	J		
36.					Sold (part)	03/04/20	J		
37.					Sold (part)	04/01/20	J		
38.					Buy (add'l)	10/06/20	J		
39. IShares Bond ETF Agency Bond (AGZ)	A	Dividend			Sold	08/04/20	J		
40. Invesco Preferred ETF (PGX)	A	Dividend	J	T	Buy	12/02/20	J		
41. Invesco QQQ Trust (QQQ)	A	Dividend	J	T	Buy	12/02/20	J		
42. Ishares Broad Usd Hg Yld (USHY)	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
43.					Sold (part)	03/04/20	J		
44.					Buy (add'l)	10/06/20	J		
45. IShares CMBS ETF (CMBS)	A	Dividend			Sold	09/02/20	J		
46. IShares Short Term Corp Bd ETF (IGSB)	A	Dividend	J	T	Buy	05/05/20	J		
47.					Sold (part)	08/04/20	J		
48. Ishares Intermediate-Term (IGIB)	A	Dividend	J	T	Sold (part)	01/07/20	J		
49.					Sold (part)	09/08/20	J		
50. Ishares Currency Holdings MSCI (HEZU)		None			Buy (add'l)	01/09/20	J		
51.					Sold	04/01/20	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

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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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52. IShares TIPS Bond ETF (TIP)		None			Sold	01/09/20	J		
53. SPDR Dow Jones REIT (RWR)	A	Dividend	J	T	Sold (part)	01/09/20	J		
54.					Sold (part)	04/01/20	J		
55.					Buy (add'l)	10/06/20	J		
56. SPDR Intrmdt Trm Crprate Bnd ETF (SPIB)	A	Dividend	J	T	Sold (part)	09/08/20	J		
57.					Sold (part)	12/02/20	J		
58. SPDR Long Term Treasury (SPTL)	A	Dividend	J	T	Sold (part)	09/08/20	J		
59. SPDR S&P 600 Small Cap ETF (SPSM)	A	Dividend	K	T	Sold (part)	01/07/20	J		
60.					Buy (add'l)	03/13/20	J		
61.					Sold (part)	09/08/20	J		
62. Vaneck Vectors J.P. Morgan Em Local Currency Bond ETF (EMLC)	A	Dividend	J	T	Buy	07/07/20	J		
63.					Buy (add'l)	08/04/20	J		
64.					Sold (part)	09/08/20	J		
65.					Sold (part)	12/02/20	J		
66. Vanguard FTSE ETF Dev Mkts (VEA)	A	Dividend	K	T	Sold (part)	01/07/20	J		
67.					Sold (part)	03/04/20	J		
68.					Buy (add'l)	08/04/20	J		

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69.					Sold (part)	09/08/20	J		
70. Vanguard FTSE Emerging Mkts (VWO)	A	Dividend	K	T	Sold (part)	01/07/20	J		
71.					Sold (part)	04/01/20	J		
72.					Buy (add'l)	08/04/20	J		
73.					Buy (add'l)	09/02/20	J		
74.					Sold (part)	09/08/20	J		
75. Vanguard Large Cap ETF (VV)	A	Dividend	J	T	Sold (part)	01/07/20	J		
76.					Buy (add'l)	01/09/20	J		
77.					Sold (part)	05/05/20	J		
78.					Sold (part)	09/08/20	J		
79. Vanguard Long Term Cor Bd ETF (VCLT)	A	Dividend	J	T	Sold (part)	09/08/20	J		
80. Vanguard Mrtg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	K	T	Sold (part)	01/09/20	J		
81.					Buy (add'l)	04/01/20	J		
82.					Buy (add'l)	08/04/20	K		
83.					Sold (part)	09/08/20	J		
84. Account #2 (H)									
85. Western Asset Instl Government Fund (INGXX) (cash) (Y)									

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86. IShares Gold TR (IAU)		None	J	T	Buy (add'l)	04/06/20	J		
87.					Sold (part)	05/07/20	J	A	
88. IShares Tr Latin Amer 40 ETF (ILF)	A	Dividend	J	T	Buy	05/07/20	J		
89.					Buy (add'l)	12/01/20	J		
90. IShares TR Russell 1000 Value ETF (IWD)	B	Dividend	L	T	Sold (part)	02/04/20	J	B	
91.					Buy (add'l)	06/29/20	J		
92.					Buy (add'l)	09/02/20	J		
93.					Buy (add'l)	12/01/20	J		
94. IShares TR Russell 1000 Growth ETF (IWF)	A	Dividend	L	T	Sold (part)	02/04/20	J	C	
95.					Sold (part)	05/07/20	J	B	
96.					Sold (part)	06/29/20	J		
97.					Sold (part)	09/02/20	J	C	
98.					Buy (add'l)	12/01/20	J		
99. IShares TR Russell 2000 ETF (IWM)	A	Dividend	J	T					
100. IShares TR Core S&P Small-Cap ETF (IJR)	A	Dividend	J	T	Buy	05/07/20	J		
101.					Sold (part)	06/29/20	J	A	
102.					Sold (part)	09/02/20	J	A	

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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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103. IShares Trust MSCI EAFE Small Cap ETF (SCZ)	A	Dividend	J	T	Buy	12/01/20	J		
104. IShares TR MSCI All Country Asia (AAXJ)		None			Buy (add'l)	02/04/20	J		
105.					Sold	04/06/20	J		
106. IShares TR JPMorgan Emerging Mkts (EMB)	A	Dividend			Sold	12/01/20	J	A	
107. IShares Tr Global REIT ETF (REET)	A	Dividend	J	T	Buy	06/29/20	J		
108. IShares Tr Mtg Real Estate ETF (REM)	A	Dividend	J	T	Buy	06/29/20	J		
109. Pimco ETF TR Enhanced Short Mat (MINT)	A	Dividend	J	T	Sold (part)	02/04/20	J	A	
110.					Buy (add'l)	05/07/20	J		
111.					Sold (part)	06/29/20	J	A	
112. SPDR Ser Tr Bloom Barc Hi Yield Bd ETF (JNK)	A	Dividend	J	T	Buy	06/29/20	J		
113.					Sold (part)	12/01/20	J	A	
114. Vanguard Spec Fds Dividend Appreciation (VIG)	A	Dividend	K	T	Buy	02/04/20	J		
115.					Buy (add'l)	04/06/20	J		
116. Vanguard Bd Index Fds (BND)	A	Dividend	J	T	Sold (part)	02/04/20	J	A	
117.					Sold (part)	04/06/20	J	A	
118.					Buy (add'l)	05/07/20	J		
119.					Sold (part)	06/29/20	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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Name of Person Reporting

Swain, Laura T.

Date of Report

07/29/2021

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)	(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)
120.					Sold (part)	09/02/20	J	A	
121.					Sold (part)	12/01/20	J	A	
122. Vanguard Intl Fd FTSE Developed Mkts (VEA)	B	Dividend	L	T	Buy (add'l)	02/04/20	J		
123.					Sold (part)	04/06/20	J		
124.					Sold (part)	05/07/20	J		
125.					Buy (add'l)	06/29/20	J		
126.					Buy (add'l)	09/02/20	J		
127.					Buy (add'l)	12/01/20	J		
128. Vanguard Charlotte Fds (BNDX)	A	Dividend			Sold	02/04/20	J	A	
129. Vanguard Intl Equity Index (VWO)	A	Dividend	K	T	Buy (add'l)	02/04/20	J		
130.					Buy (add'l)	04/06/20	J		
131.					Buy (add'l)	05/07/20	J		
132.					Buy (add'l)	12/01/20	J		
133. Account #3 (H)									
134. Western Asset Instl Govt (INGXX) (cash) (X)	A	Interest	J	T					
135. IShares Gold Tr (IAU)		None	J	T	Buy (add'l)	04/06/20	J		
136.					Sold (part)	05/07/20	J	A	

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)					

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)	(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)
137. IShares Tr Latin Amer 40 ETF (ILF)	A	Dividend	J	T	Buy	05/07/20	J		
138.					Buy (add'l)	12/01/20	J		
139. IShares Tr Russell 1000 Value ETF (IWD)	B	Dividend	L	T	Sold (part)	02/04/20	J	A	
140.					Buy (add'l)	06/29/20	J		
141.					Buy (add'l)	09/02/20	J		
142.					Sold (part)	12/01/20	J		
143. IShares Tr Russell 1000 Growth ETF (IWF)	A	Dividend	L	T	Sold (part)	02/04/20	J	C	
144.					Sold (part)	05/07/20	J	A	
145.					Sold (part)	06/29/20	J	B	
146.					Sold (part)	09/02/20	J	C	
147.					Buy (add'l)	12/01/20	J		
148. Ishares Tr Russell 2000 ETF (IWM)	A	Dividend	J	T					
149. IShares Tr Core S&P Small-Cap ETF (IJR)	A	Dividend	J	T	Buy	05/07/20	J		
150.					Sold (part)	06/29/20	J	A	
151.					Sold (part)	09/02/20	J	A	
152. IShares Tr MSCI All Country Asia (AAXJ)		None			Buy (add'l)	02/04/20	J		
153.					Sold	04/06/20	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)
154. IShares Tr JPMorgan Emerging Mkts (EMB)	A	Dividend	J	T	Sold (part)	12/01/20	J	A	
155. IShares Trust MSCI Small Cap ETF (SCZ)	A	Dividend	J	T	Buy	12/01/20	J		
156. IShares Tr Global REIT ETF (REET)	A	Dividend	J	T	Buy	06/29/20	J		
157. IShares Tr Mtg Real Estate ETF (REM)	A	Dividend	J	T	Buy	06/29/20	J		
158. Pimco ETF Tr Enhanced Short Mat (MINT)	A	Dividend	J	T	Sold	02/04/20	J	B	
159.					Buy	05/07/20	J		
160.					Sold (part)	06/29/20	J	A	
161. SPDR Ser Tr Bloom Barc Hi Yield Bd ETF (JNK)	A	Dividend	J	T	Buy	06/29/20	J		
162.					Sold (part)	12/01/20	J		
163. Vanguard Spec Fds Dividend Appreciation (VIG)	A	Dividend	K	T	Buy	02/04/20	K		
164.					Buy (add'l)	04/06/20	J		
165. Vanguard Bd Index Fds (BND)	A	Dividend	J	T	Sold (part)	02/04/20	J	A	
166.					Sold (part)	04/06/20	J	A	
167.					Buy (add'l)	05/07/20	J		
168.					Sold (part)	06/29/20	J	B	
169.					Sold (part)	09/02/20	J	A	
170.					Sold (part)	12/01/20	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)	(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)

171. Vanguard Intl Fd FTSE Developed Mkts (VEA)	A	Dividend	L	T	Buy (add'l)	02/04/20	J		
172.					Sold (part)	04/06/20	J		
173.					Sold (part)	05/07/20	J		
174.					Sold (part)	06/29/20	J		
175.					Buy (add'l)	09/02/20	J		
176.					Buy (add'l)	12/01/20	J		
177. Vanguard Charlotte Fds (BNDX)	A	Dividend			Sold	02/04/20	J	A	
178. Vanguard Intl Equity Index (VWO)	A	Dividend	K	T	Buy (add'l)	02/04/20	J		
179.					Buy (add'l)	04/06/20	J		
180.					Buy (add'l)	05/07/20	J		
181.					Buy (add'l)	12/01/20	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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Name of Person Reporting

Swain, Laura T.

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

Part VII, [REDACTED]. Employees Stock Ownership Plan: 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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Name of Person Reporting

Swain, Laura T.

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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
Administrative Office of the United States Courts
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Washington, D.C. 20544