AO 10
Rev. 1/2015

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2014

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)	2. Court or Organization	3. Date of Report
Swain, Laura T.	US District Court - SDNY	05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US District Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2014 **to** 12/31/2014

7. Chambers or Office Address

Daniel Patrick Moynihan U.S. Courthouse
500 Pearl Stret
Suite 1320
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.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	5/95	Pension Plan of Debevoise & Plimpton LLP (fmr law firm), no control. Participation terminated and lump sum cashout distributed 11/19/2014.
2.		
3.		

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.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE AND TYPE
1.	2014	[redacted] - Salary and bonus
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Supreme Court Historical Society	2/2/2014-2/3/2014	Washington, DC	Meeting concerning federal courts narrative history project of SCHS & FJC	Transportation, lodging, meals
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Swain, Laura T.	05/14/2015

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. HSBC Bank - account	A	Interest	K	T					
2. Charles Schwab Rollover IRA	E	Dividend	M	T					
3. - Dreyfus Appreciation Fund									
4. - Wells Fargo Adv. Income Plus Fund									
5. - Deutche (formerly DWS) Core Equity Fund									
6. - Newberger & Berman Socially Resp. Fund									
7. - Neuberger & Berman Genesis Fund									
8. - TCW Select Equities Fund									
9. - Firsthand Technology Value Fund									
10. - Broadview Opportunity Fund (fmr FMI Focus Fund)									
11. - Allianz RCM Global Technology Fund									
12. - GAMCO Growth Fund									
13. - Managers Bond Fund									
14. - Touchstone Cap Growth Fund									
15. - Schwab Deposit a/c									
16. [redacted] 401(k) Plan	D	Dividend	M	T					
17. -Vanguard Mid-Cap Index Fund									

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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18. - Vanguard Total Stock Mkt Index Fund									
19. -American Funds Growth Fund									
20. - American Funds New Perspective									
21. - American Funds Bond Fund Am									
22. - Eagle Small Cap Grown Fund									
23. - JP Morgan Equity Income Fund									
24. - Neuberger Berman High Inc. Bond Fund									
25. - Voya (formerly ING) Fixed Account									
26. [redacted] Profit Sharing Plan	A	Dividend	K	T					
27. [redacted] Employees Stock Ownership Plan	C	Dividend	K	T					
28. Citibank interest bearing accounts	A	Interest	K	T					
29. Citibank Rollover IRA	C	Dividend	M	T					
30. -FDIC insured deposits									
31. -IShares TR Russell 1000 Value ETF					Buy	12/12/14	K		
32. -IShares TR Russell 1000 Growth ETF					Buy	12/12/14	K		
33. -IShares TR Russell 2000 Value ETF					Buy	12/12/14	J		
34. -IShares TR Russell 2000 Growth ETF					Buy	12/12/14	J		

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35. -SPDR SER TR Barclays High Yield Bond ETF					Buy	12/12/14	J		
36. - SPDR SER TR Barclays Intl Treas Bd ETF					Buy	12/12/14	J		
37. -Vanguard Bd Index Fd Inc Total Bd Market					Buy	12/12/14	J		
38. -Vanguard TaxManaged Intl Fd FTSE					Buy	12/12/14	L		
39. -Vanguard Intl Equity Index Fds FTSE					Buy	12/12/14	K		
40. Nationwide Bank CD	A	Interest	L	T					

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

(Part VII, line 26) The investments of this profit sharing plan are not participant-directed and the positions held by the plan are not reported in the statements issued to participants.

(Part VII, line 27) The investments of this ESOP, which was established in 2009, are not participant-directed.

(Part VII, line 29) This account was established in connection with the termination of participant interest in Debevoise & Plimpton Pension Plan (see Part II line 1)

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544