

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) PRESKA, LORETTA A.	2. Court or Organization UNITED STATES DISTRICT COURT, SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 04/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE, ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 500 PEARL STREET, ROOM 2220 NEW YORK, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. Vice-President	Fordham Law Alumni Association
2. Co-Trustee/Trustee	Trusts # 7 and 11
3. Advisory Board	Federalist Society, New York Chapter
4. Trustee	Fordham University
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.)*

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. 2011

Self Employed Lawyer

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. SMU Air Law Symposium

March 30-31, 2011

Dallas, TX

to give a speech

Lodging, food, travel

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. JPMorgan Chase Bank Accounts	A	Interest	J	T					
2. Trust #6	B	Dividend	L	T					
3. -NWML Whole Life									
4. Trust #7	E	Dividend	N	T					
5. -Evlico Adjustable Life									
6. -NEML Annuity									
7. -NWML Whole Life									
8. -NWML Whole Life									
9. Law Firm Retirement Account	D	Dividend	O	T					
10. -Fidelity Contrafund									
11. -Baron Growth Fund									
12. -Fidelity Cash Reserves									
13. -Royce Total Return Fund									
14. -Vanguard Midcap Index Fund									
15. Law Firm Capital A/C and Int. in A/R		None	P1	W					
16. Forrest City Investment Partners	A	Distribution	J	W					
17. NYS Muni Bonds	B	Interest	K	T	Matured (part)	04/01/11	K		

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	
	U ~Book Value	V ~Other	W ~Estimated		

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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) 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)

18. Citibank Accounts	C	Interest	P1	T					
19. FL Muni Bonds	B	Interest	K	T	Redeemed (part)	10/03/11	M		
20. M&T Bank Accounts	A	Interest	M	T					
21. TX Muni Bonds	C	Interest	L	T					
22. WA Muni Bonds	B	Interest	K	T					
23. PA Muni Bonds	B	Interest	K	T					
24. IL Muni Bonds	A	Interest	K	T					
25. AL Muni Bonds	C	Interest	L	T					
26. Integro Common Stock		None	N	T					
27. DE Muni Bonds	C	Interest	L	T					
28. NV Muni Bonds	B	Interest	L	T					
29. Trust # 10	G	Dividend	P1	T					
30. -Fidelity Municipal MMF									
31. -Eaton Vance Lg Cap Fund					Buy	01/07/11	M		
32.					Buy	02/02/11	K		
33.					Sold	06/10/11	O		
34. -MS Global Long Short Fund					Buy	02/02/11	K		

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

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35. -Templeton Global Fund									
36. -Blackrock Global Fund					Buy	02/02/11	K		
37.					Buy	03/21/11	N		
38.					Buy	03/25/11	L		
39. -Ivy Asset Strategy Fund					Buy	02/02/11	K		
40.					Buy	03/21/11	N		
41.					Buy	03/25/11	L		
42. -Vanguard Ltd Term Tax Exempt Fund					Buy	05/26/11	M		
43. Ironshore Common Stock		None	M	T					
44. Trust # 11	D	Dividend	M	T					
45. -S+P Midcap SPDRS									
46. -Fidelity Cash Reserves									
47. -Eaton Vance Large Cap Fund					Sold	06/01/11	L		
48. -Templeton Global Fund									
49. -Blackrock Equity Div Fund					Buy	06/01/11	L		
50. -Western Asset Govt MMF	A	Dividend	L	T					
51. IRA # 9	E	Dividend	P1	T					

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 \$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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52. -Fidelity Contrafund					Buy	11/03/11	K		
53. -Fidelity U.S. Gov't Reserves									
54. -Baron Growth Fund									
55. -Blackrock Global Allocation Fund					Buy	02/07/11	J		
56. -Pimco Total Return Fund									
57. -Vanguard Midcap Fund									
58. -SPDR Midcap 400 ETF									
59. -Eaton Vance Lg Cap Fund					Sold	06/01/11	K		
60. -Am Growth Fund of America									
61. -Ivy Asset Strategy Fund									
62. -Royce Total Return Fund									
63. -Tweedy Browne Special Value Fund									
64. -Spartan 500 Index Fund									
65. -Blackrock Equity Dividend Fund					Buy	06/01/11	K		
66. IRA # 10	D	Dividend	O	T					
67. -SPDR Midcap 400					Buy	01/07/11	M		
68. -Fidelity U.S. Gov't Reserves									

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. -Baron Growth Fund									
70. -Am Growth Fund of America									
71. -Tweedy Browne Global Value Fund									
72. -Vanguard Midcap Index Fund									
73. -Ivy Asset Strategy Fund									
74. -Fidelity Low Priced Stock Fund					Buy	01/07/11	M		
75. -Blackrock Global Allocation Fund					Buy	02/04/11	J		
76. BIOG LLC	A	Distribution	K	U					

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

- Trusts ## 1 and 2 are no longer reportable. See my March 20, 2012 letter to Judge Bobby R. Baldock.
- Trusts ## 3, 4, 8, 9 and 12 are no longer reportable for the same reason.
- Likewise, IRAs ## 7 and 8 are no longer reportable for the same reason.
- On or about September 23, 2011, certain assets previously in Trust # 10 were given to a trust which is not reportable. Accordingly, assets reported at lines 83, 90 and 93 of last year's report have been deleted.
- On or about September 23, 2011, certain municipal bonds reported on last year's report on lines 59, 61, 63-78, 95, 96 and 111 were given to a trust which is not reportable. Accordingly, those assets have been deleted or, where less than the entire position was given, the value reflected on this year's report has been reduced to reflect such gift.
- Part VII, line 64 -- This asset was transferred to IRA # 9 from Law Firm Retirement Fund (line 9) on 2/18/11.

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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/ LORETTA A. PRESKA**

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