

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Schofield, Lorna G.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 05/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Thurgood Marshall United States Courthouse 40 Centre 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. Custodian	Vanguard Uniform Gifts for Minors Account
2.	
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. 2011	Debevoise & Plimpton LLP, retirement program in a fixed amount, payable monthly for life, with COLA
2. 1988	Retirement Plan for Lawyers of Debevoise & Plimpton LLP, self-directed account
3. 1991	Debevoise & Plimpton LLP Cash or Deferred Plan for Partner & Staff, self-directed account

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

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. 2016	Debevoise & Plimpton LLP pension	\$314,208.00
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.	
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. Cornell Law School	September 30 - Oct 2, 2016	Ithaca, NY	speaking appearance	Transportation & lodging
2. American Bar Association, Section of Litigation	October 6-7, 2016	Austin, TX	Lawyers' Conference (speaker)	Transportation & lodging
3. Filipino American Lawyers of San Diego	November 3-4, 2016	San Diego, CA	Lawyers Conference (speaker)	Transportation & lodging
4. American Bar Association, Section of Litigation	November 14, 2016	Atlanta, GA	Lawyers Conference (speaker)	Transportation
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

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. Citibank Accounts	A	Interest	K	T					
2. Fidelity Magellan	D	Dividend	M	T					
3. Rochester Fund Municipals	C	Dividend	K	T					
4. Vanguard 500 Index Fund Adm	D	Dividend	N	T					
5. Vanguard Capital Opportunity Fund Adm	C	Dividend	N	T					
6. Vanguard Dividend Growth Fund	D	Dividend	O	T					
7. Vanguard Emerging Markets Stock Index Fund Adm AdmExplorer Fund Adm	D	Dividend	M	T					
8. Vanguard Explorer Fund Adm	D	Dividend	M	T					
9. Vanguard Global Equity Fund	D	Dividend	O	T					
10. Vanguard Growth Index Fund Adm	E	Dividend	P1	T					
11. Vanguard Health Care Fund Adm	D	Dividend	N	T					
12. Vanguard High-Yield Tax-Exempt Fund Adm	D	Dividend	M	T					
13. Vanguard Intermediate-Term Tax-Exempt Fund Adm	E	Dividend	O	T					
14. Vanguard International Growth Fund Adm	D	Dividend	N	T					
15. Vanguard Mid-Cap Index Fund Adm	D	Dividend	O	T					
16. Vanguard NY Long-Term Tax-Exempt Fund Adm	E	Dividend	P1	T					
17. Vanguard PRIMECAP Fund Adm	D	Dividend	M	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

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 I (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. Vanguard Selected Value Fund	E	Dividend	N	T					
19. Vanguard Short -Term Investment-Grade Fund Adm	D	Dividend	N	T					
20. Vanguard Small-Cap Growth Index Fund Adm	C	Dividend	M	T					
21. Vanguard Tax-Exempt Money Market Fund	A	Dividend	N	T					
22. Vanguard Windsor II Fund Adm	E	Dividend	M	T					
23. D&P Retirement Plan for Lawyers									
24. - Vanguard Explorer Fund Adm	C	Dividend	L	T					
25. - Vanguard High-Yield Corporate Fund Adm	B	Dividend	N	T					
26. - Vanguard Institutional Index Fund Inst.	D	Dividend	N	T					
27. - Vanguard Selected Value Fund	E	Dividend	N	T					
28. D&P Cash or Deferred Plan									
29. - Vanguard Explorer Fund Adm	B	Dividend	K	T					
30. - Vanguard Health Care Fund Adm	D	Dividend	M	T					
31. - Vanguard Institutional Fund Inst.	C	Dividend	N	T					
32. - Vanguard Selected Value Fund	D	Dividend	N	T					
33. - Vanguard Windsor Fund Adm	C	Dividend	M	T					
34. Traditional IRA									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

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)

35. - Vanguard Global Equity Fund	A	Dividend	J	T					
36. - Vanguard Growth & Income Fund Adm	D	Dividend	M	T					
37. - Vanguard Prime Money Market Fund		None	J	T					
38. Uniform Gifts for Minors Account									
39. - Vanguard Growth & Income Fund Inv	B	Dividend	K	T					
40. - Vanguard Prime Money Market Fund		None	J	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Schofield, Lorna G.

Date of Report

05/01/2017

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/ Lorna G. Schofield**

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