

**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) McKENNA, LAWRENCE M.	2. Court or Organization Southern District of New York	3. Date of Report 08/13/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Senior)	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 United States District Court 500 Pearl Street (1640) New York, N.Y. 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

I. ADMINISTRATOR

ESTATE

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

☒ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1. _____
2. _____
3. _____

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

08/13/2012

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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

08/13/2012

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

McKENNA, LAWRENCE M.

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08/13/2012

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 (Checking)		None	K	T					
2. EMIGRANT SAVINGS BANK (Savings)	A	Interest	K	T					
3. UBS PAIINE WEBBER RET. MONEY FUND (now DEPOSIT ACCT))	A	Interest	K	T					
4. ALTRIA (Common)		None	J	T					
5. BIOSONICS (Common)		None	J	T					
6. MCI WORLD (Common)		None	J	T					
7. SONORAN (Common)		None	J	T					
8. CISCO SYSTEMS (Common)		None	J	T					
9. AVAYA (Common)		None	J	T					
10. ASTROPOWER (Common)		None	J	T					
11. MONSANTO (Common)	A	Dividend	J	T					
12. EXXON MOBIL (Common)	A	Dividend	J	T					
13. HONDA MOTORS (Common)	A	Dividend	J	T					
14. GOOGLE (Common)		None	K	T					
15. ALCATEL-LUCENT (ADR)		None	J	T					
16. JANUS ADVISOR FORTY FUND (FUND)	A	Dividend	J	T					
17. DUPONT 4.50 PFD	A	Dividend	J	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

McKENNA, LAWRENCE M.

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08/13/2012

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18. FIRST ENERGY (Common)	A	Dividend	J	T					
19. KRAFT (Common)	A	Dividend	J	T					
20. LSI LOGIC (Common)		None	J	T					
21. PHILIP MORRIS (Common)	A	Dividend	J	T					
22. ALLIANZ 8.375% (BOND)	A	Dividend	K	T					
23. UBS PACE GOVT. FIXED INC. (FUND)	A	Interest	J	T					
24. UBS PACE INTER. FIXED INC. (FUND)	A	Interest	J	T					
25. UBS PACE STRATEGIC FIXED INC. (FUND)	A	Interest	J	T					
26. UBS PACE SMALL/MED VALUE (FUND)		None	J	T					
27. UBS PACE MONEY MARKET (FUND)	A	Interest	J	T					
28. UBS PACE HIGH YIELD (FUND)	A	Interest	J	T					
29. UBS PACE INT'L EQUITY (FUND)		None	J	T					
30. UBS PACE MUNI. FIXED INC. (FUND)	A	Interest	J	T					
31. PACE STRATEGIC FIXED INC. (FUND)	A	Interest	J	T					
32. UBS SMALL/MED CO. GROWTH EQUITY FUND		None	J	T					
33. UBS LARGE CO. VALUE EQUITY FUND		None	J	T					
34. UBS INT'L EMERG. MARKETS EQUITY 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 \$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

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35. UBS GLOBAL FIXED INCOME FUND		None	J	T					
36. DOM. RES. INC. VA. BOND		None	K	T					
37. UBS BANK USA DEPOSIT ACCOUNT	A	Interest	K	T					
38. PACE INT'L EMERGING MARKETS	A	Dividend	J	T					
39. PACE LARGE CO. VALUE (FUND)	A	Dividend	J	T					
40. PACE LARGE GO. GROWTH (FUND)	A	Dividend	J	T					
41. WESTERN ASSET (CLAYMORE FUND)	A	None	J	T	Buy	06/30/11	J		
42.									
43.									
44.									
45.									
46.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

08/13/2012

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

The estate listed in I.1 has no assets

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

McKENNA, LAWRENCE M.

Date of Report

08/13/2012

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/ LAWRENCE M. McKENNA

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