AO 10 Rev. 1/2007	FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006	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 - SDNY	**3. Date of Report** 05/10/2007
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** 01/01/2006 to 12/31/2006
7. Chambers or Office Address D.P. Moynihan U.S. Courthouse 500 Pearl Street New York, NY 10007	**8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.** **Reviewing Officer**______________ **Date**__________	

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. Sign on last page.***

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

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board Member	Coalition for Consumer Bankruptcy Debtor Education (terminated 2006)
2.	Board Member	Havens Relief Fund Society
3.	Board Member	Federal Judges Association
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	5/95	Debevoise & Plimpton Staff Pension Plan (fmr law firm), no control
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

[X] NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.			
3.			
4.			
5.			

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.	2005	[redacted] - Salary and Bonus
2.		
3.		
4.		
5.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

[ ] NONE *(No reportable reimbursements.)*

	SOURCE	DESCRIPTION
1.	Federal Bar Council	Airfare, Lodging and Food for self and spouse in connection with speaking on educational program Feb. 2-10, 2006, in Charlotte Amalie, VI
2.	Federal Judges Association	Airfare, Lodging and Food for self in connection with board meeting in Arlington, VA May 6-7, 2006
3.	Southern Vermont College	Lodging and Food for self and family in connection with inaugural ceremonies for college president. Bennington, VT 11/17-19/06
4.		

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5.

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

[X] 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 instructions.)*

[X] NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Barclays Bank PLC - Account	A	Interest	J	T					
2. HSBC Bank (frmrly Republic Bank of NY) - account	A	Interest	J	T					
3. Charles Schwab Rollover IRA	D	Dividend	M	T					
4. - Dreyfus Appreciation Fund									
5. - Wells Fargo Adv. Corp Bond Inv. Fund									
6. - DWS (fmr Scudder) Growth & Income Fund									
7. - Neuberger & Berman Socially Resp. Fund									
8. - Old Mutual Select Growth Fund									
9. - Neuberger & Berman Genesis Fund									
10. - - TCW Select Equities Fund									
11. - Firsthand Technology Value Fund									
12. - FMI Focus Fund									
13. - Allianz RCMGlobal Technology Fund									
14. - GAMCO (fmr Gabelli) Growth Fund									
15. - Managers Bond Fund									
16. - Old Mutual Large Cap Growth Fund									
17. - Schwab Money Market 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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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. [redacted] 401(k) Plan	D	Dividend	L	T					
19. - John Hancock Money Mkt Fund									
20. - John Hancock Equity Income Fund									
21. - John Hancock US Lg Cap Fund									
22. - John Hancock Emerg Sml Co Fund									
23. - John Hancock US Govt Secs Fund									
24. - John Hancock Strategic Bond Fund									
25. - John Hancock Int'l Core (fmr Stock) Fund									
26. - John Hancock All Cap Growth Fund									
27. - John Hancock Mid Cap Stock Fund									
28. [redacted] Profit Sharing Plan	A	Dividend	J	T					
29. Equitable Variable Life	B	Dividend	J	T					
30. - AXA Premier (formerly EQ) Aggressive Equity Fund									
31. - EQ/Alliance Common Stock Fund									
32. -EQ/Alliance International Fund									
33. - EQ/Alliance Money Market Fund									
34. - EQ/Alliance Quality Bond Fund									

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

(Part VII, line 28) 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.

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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 [redacted] Date 5/10/2007

NOTE: ANY I[redacted]DUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544