

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2009**

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting</b> (last name, first, middle initial)  Swain, Laura T.	<b>2. Court or Organization</b>  US District Court - SDNY	<b>3. Date of Report</b>  05/13/2010
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)  US District Judge (Active)	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2009 to 12/31/2009
<b>7. Chambers or Office Address</b>  Daniel Patrick Moynihan U.S. Courthouse 500 Pearl Stret Suite 755 New York, NY 10007	<b>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.</b>  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 filing instructions.)

NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Member	Havens Relief Fund Society
2. Board Member	Federal Judges Association
3.	
4.	
5.	

RECEIVED  
 MAY 17 11 11 AM '09  
 CLERK OF COURT

**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. 5/95	Pension Plan of Debevoise & Plimpton LLP (fmr law firm), no control
2.	
3.	

**FINANCIAL DISCLOSURE REPORT**  
Page 2 of 7

Name of Person Reporting  
Swain, Laura T.

Date of Report  
05/13/2010

**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.		
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. 2009	Salary
2. 2009	Salary and Bonus
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. Federal Judges Association	5/2-3/2010	Washington, DC	Board Meeting	Travel, food, lodging for sel
2.				
3.				
4.				
5.				

**FINANCIAL DISCLOSURE REPORT**  
Page 3 of 7

<b>Name of Person Reporting</b> Swain, Laura T.	<b>Date of Report</b> 05/13/2010
--	-------------------------------------

**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 7

Name of Person Reporting  
Swain, Laura T.

Date of Report  
05/13/2010

**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.	Barclays Bank PLC - Account	A	Interest	J	T					
2.	HSBC Bank - account	A	Interest	K	T					
3.	Charles Schwab Rollover IRA	D	Dividend	M	T					
4.	- Dreyfus Appreciation Fund									
5.	- Wells Fargo Adv. Income Fune									
6.	- DWS Growth & Income Fund									
7.	- Newberger & 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 RCM Global Technology Fund									
14.	- GAMCO Growth Fund									
15.	- Managers Bond Fund									
16.	- Old Mutual Large Cap Growth Fund									
17.	- Schwab Money Market Fund									

1. Income Gain Codes: (See Column 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 Column 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 5 of 7

Name of Person Reporting  
Swain, Laura T.

Date of Report  
05/13/2010

**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 J (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. 401(k) Plan	D	Dividend	L	T					
19. - John Hancock Money Market Fund									
20. - John Hancock Equity Income Fund									
21. - John Hancock Fundamentl Inv Fnd (fmr US Large Cap Fund)									
22. - John Hancock AIM Sml Cap Growth (fmr Emerg Smal Co Fund)									
23. - John Hancock US Govt Secs Fund									
24. - John Hancock Strategic Bond Fund									
25. - John Hancock Int'l Core Fund									
26. - John Hancock All Cap Growth Fund									
27. - John Hancock Mid Cap Stock Fund									
28. Profit Sharing Plan	A	Dividend	J	T					
29. Equitable Variable Life (terminated without refund or txfr)	A	Dividend			Closed	04/30/09	J		
30. Employees Stock Ownership Plan (est 2009)		None	J	T					
31. Citibank interest bearing accounts	A	Interest	K	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 6 of 7

<b>Name of Person Reporting</b> Swain, Laura T.	<b>Date of Report</b> 05/13/2010
--	-------------------------------------

**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.

(Part VII, line 30) The investments of this ESOP, which was established in 2009, are not participant-directed. No allocations to participants have been reported.

**FINANCIAL DISCLOSURE REPORT**  
Page 7 of 7

<b>Name of Person Reporting</b> Swain, Laura T.	<b>Date of Report</b> 05/13/2010
--	-------------------------------------

**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 \_\_\_\_\_

**NOTE: ANY INDIVIDUAL 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