

# FINANCIAL DISCLOSURE REPORT

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

Calendar Year 2003

1. Person Reporting (Last name, First name, Middle initial) Swain, Laura T	2. Court or Organization US District Court - SDNY	3. Date of Report 5/13/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge (Active)	5. ReportType (check appropriate type) <input type="radio"/> Nomination,      Date <input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address Thurgood Marshall U.S. Ctse 40 Foley Square 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 filing instructions)

**NONE** - (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Member	Episcopal Charities, Inc. (terminated 2003)
2. Board Member	Coalition for Consumer Bankruptcy Debtor Education
3. Co-Executrix	Estate (distributed 2003)

**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	Debevoise & Plimpton Staff Pension Plan (from law firm), no control

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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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u> (yours, not spouse's)
1. 2003	Suffolk University Law School - approved teaching fee and cash travel exp. Reimbursement	3,185.25

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please 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. 2003	 Salary and Bonus

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

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

 **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. George Mason Univ. Law & Econ. Ctr.	Transportation, lodging and food in connection with seminar 3/6/03-3/9/03 in La Jolla, CA
2. Suffolk University Law School	Transportation, lodging and food in connection with presentation of lecture 4/9/03 - 4/11/03 in Boston, MA
3. National Conference of Bankruptcy Judges	Transportation, lodging and food in connection with participation as speaker in annual educational pgm 10/15/03-10/18/03 in San Diego, CA

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**V. GIFTS.** (Includes those to spouse and dependent children. See pp. 28-31 of instructions.) **NONE** - (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-34 of instructions.) **NONE** - (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Capital One	Credit card balance	J

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## VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
<input type="checkbox"/> <b>NONE</b> (No reportable income, assets, or transactions)									
1. Barclays Bank PLC - Account	A	Interest	J	T					
2. HSBC Bank (fmrly Republic Bank of NY) - account	A	Interest	J	T					
3. Charles Schwab Rollover IRA	B	Dividend	M	T					
4. - Dreyfus Appreciation Fund									
5. - Strong Corp. Bond Fund									
6. - Scudder Growth & Income Fund									
7. - Neuberger & Berman Socially Resp. Fund									
8. - PHBG Select Growth (fmrly Equity) Fund									
9. - Neuberger & Berman Genesis Fund									
10. - - TCW Galileo Select Equities Fund									
11. - Firsthand Technology Value Fund									
12. - FMI Focus Fund									
13. - PIMCO (fmrlyDresdner) RCM Global Technology Fund									
14. - Gabelli Growth Fund									
15. - Managers Bond Fund									
16. - PBHG Large Cap Growth Fund									
17. - Schwab Money Market Fund									
18. [REDACTED] 401(k) Plan	A	Dividend	K	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 = \$250,000-\$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  
 U = Book Value V = Other W = Estimated

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19. - Manulife Money Mkt Fund									
20. - Manulife Equity Income Fund									
21. - Manulife Quantitative Equity Fund									
22. - Manulife Emerg Sml Co Fund									
23. - Manulife US Govt Secs Fund									
24. - Manulife Strategic Bond Fund									
25. - Manulife Int'l Stock Fund									
26. - Manulife All Cap Growth Fund									
27. - Manulife Aggressive Growth Fund									
28. - Manulife Internet Technologies Fund									
29. ██████████ Profit Sharing Plan	A	Dividend	J	T					
30. Estate (distributed 2003)									
31. - GreenPoint Bank Certificate of Deposit					Redemption	1/3	K	D	
32. - Republic Nat'l Bank Money Mkt Account (closed 2002)									
33. Equitable Variable Life	B	Dividend	K	T					
34. - EQ/Aggressive Stock Fund									
35. - EQ/Alliance Common Stock Fund					Buy	1/28	J		
36. -EQ/Alliance International Fund									

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
37. - EQ/Alliance Money Market Fund									
38. - EQ/Alliance Quality Bond Fund									

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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS**

(Indicate part of Report.)

(Part VII, line 29) 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 32) This money market account was closed, and the proceeds distributed to beneficiaries of the estate, on May 6, 2002. The value code for the transaction was L.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

13 May 2004

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