AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Swain, Laura T.	US District Court - Southern District of New York	08/12/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US District Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Daniel Patrick Moynihan U.S. Courthouse 500 Pearl 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board Member	Havens Relief Fund Society
2.	Trustee	Trust #1 (no reportable assets)
3.		
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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.	2021	[redacted] (salary and benefits)
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.					

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

☑ 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 filing instructions.)*

☑ NONE *(No reportable liabilities.)*

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

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Swain, Laura T.	08/12/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. HSBC Bank (cash)	A	Interest	K	T					
3. Citibank (cash)	A	Interest	J	T					
4. Synchrony Bank (cash)	A	Interest	K	T					
5. [redacted] Employees Stock Ownership Plan (no control)		None	K	T					
6. Account #1 (H)									
7. Fidelity MSCI Comm SRV Index (FCOM)	A	Dividend	J	T	Sold (part)	03/30/21	J		
8.					Buy (add'l)	05/26/21	J		
9.					Buy (add'l)	06/29/21	J		
10.					Sold (part)	08/13/21	J		
11.					Sold (part)	12/21/21	J		
12. Fidelity MSCI Cons Discr (FDIS)	A	Dividend	J	T	Sold (part)	05/26/21	J		
13. Fidelity MSCI Cons Stpls (FSTA)	A	Dividend	J	T	Sold (part)	02/03/21	J		
14.					Sold (part)	05/26/21	J		
15. Fidelity MSCI Energy Index Etf (FENY)	A	Dividend	J	T	Buy	03/30/21	J		
16. Fidelity MSCI Financials Indx ETF (FNCL)	A	Dividend	J	T	Buy	02/03/21	J		
17.					Buy (add'l)	03/01/21	J		

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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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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18.					Buy (add'l)	06/29/21	J		
19.					Sold (part)	08/13/21	J		
20.					Sold (part)	10/27/21	J		
21.					Sold (part)	12/21/21	J		
22. Fidelity MSCI Health (FHLC)	A	Dividend	J	T	Sold (part)	08/13/21	J		
23.					Sold (part)	10/27/21	J		
24.					Sold (part)	12/21/21	J		
25. Fidelity MSCI Infor Tech (FTEC)	A	Dividend	K	T	Sold (part)	03/01/21	J		
26.					Buy (add'l)	05/26/21	J		
27.					Sold (part)	08/13/21	J		
28. Fidelity MSCI Utilities ETF (FUTY)		None			Sold	02/03/21	J		
29. Invesco FSTE RAFI Emerging Markets (PXH)	A	Dividend	J	T	Buy	03/01/21	J		
30. Invesco Optimum Yield (PDBC)	D	Dividend	J	T	Buy (add'l)	03/01/21	J		
31.					Sold (part)	08/13/21	J		
32.					Sold (part)	08/25/21	J		
33.					Buy (add'l)	12/13/21	J		
34. Invesco Preferred ETF (PGX)	A	Dividend			Sold	03/01/21	J		

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35. Invesco QQQ Trust (QQQ)		None			Sold	03/01/21	J		
36. Ishares Broad Usd Hg Yld (USHY)	A	Dividend	J	T	Sold (part)	02/03/21	J		
37. Ishares Tr IS 1 5 INV GR CR BD YR (IGSB)	A	Dividend	J	T	Buy (add'l)	03/01/21	J		
38.					Buy (add'l)	03/30/21	J		
39. Ishares TRT IS 5 10 INV GR CR BD (IGIB)	A	Dividend	K	T	Buy (add'l)	01/25/21	J		
40.					Buy (add'l)	06/29/21	J		
41.					Sold (part)	08/13/21	J		
42.					Buy (add'l)	08/25/21	J		
43.					Buy (add'l)	12/21/21	J		
44. Ishares 3-7 Year Trery Bond (IEI)	A	Dividend	J	T	Buy	06/29/21	J		
45. SPDR Blmbrg Brcly Intl Trsry (BWX)	A	Dividend	J	T	Buy	03/01/21	J		
46. SPDR Dow Jones REIT (RWR)	A	Dividend	J	T	Sold (part)	08/13/21	J		
47.					Buy (add'l)	10/27/21	J		
48. SPDR Gold MiniShares ETV (GLDM)		None	J	T	Buy	08/25/21	J		
49. SPDR Intrmdt Trm Crprate Bnd ETF (SPIB)	A	Dividend	J	T	Sold (part)	01/06/21	J		
50. SPDR S&P 600 Small Cap ETF (SPSM)	A	Dividend	K	T	Sold (part)	01/25/21	J		
51. SPDR S&P Global Natural Resources ETF (GNR)	A	Dividend	K	T	Buy	01/06/21	J		

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	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	
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52.					Buy (add'l)	05/26/21	J		
53.					Buy (add'l)	09/29/21	J		
54. SPDR Long Term Treasury (SPTL)	A	Dividend			Sold (part)	03/01/21	J		
55.					Sold	08/13/21	J		
56. Vaneck Vectors J.P. Morgan Em Local Currency Bond ETF (EMLC)	A	Dividend			Sold	03/01/21	J		
57.					Buy (add'l)	06/29/21	J		
58.					Sold	08/25/21	J		
59. Vanguard FTSE ETF Dev Mkts (VEA)	B	Dividend	K	T	Buy (add'l)	01/06/21	J		
60.					Buy (add'l)	04/28/21	J		
61.					Buy (add'l)	08/13/21	J		
62. Vanguard FTSE Emerging Mkts (VWO)	A	Dividend	J	T	Sold (part)	01/25/21	J		
63.					Buy (add'l)	02/03/21	J		
64.					Sold (part)	03/01/21	J		
65.					Sold (part)	03/30/21	J		
66.					Sold (part)	04/28/21	J		
67.					Sold (part)	08/25/21	J		
68.					Sold (part)	10/06/21	J		

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69.	Vanguard High Dividend Yield (VYM)	A	Dividend	J	T	Buy	03/01/21	J		
70.						Buy (add'l)	04/28/21	J		
71.	Vanguard Large Cap ETF (VV)	A	Dividend	J	T	Sold (part)	01/06/21	J		
72.						Sold (part)	03/01/21	J		
73.						Sold (part)	08/13/21	J		
74.	Vanguard Long Term Cor Bd ETF (VCLT)	A	Dividend	J	T					
75.	Vanguard Mrtg-Backd ETF Mortg-Backed Secs (VMBS)	A	Dividend	J	T	Buy (add'l)	01/25/21	J		
76.						Sold (part)	06/29/21	J		
77.						Sold (part)	08/13/21	J		
78.	Account #2 (H)									
79.	Western Asset Instl Govt (INGXX) (cash)	A	Dividend	J	T					
80.	Ishares Tr Core US Aggregate Bd ETF (AGG)	A	Dividend	K	T	Buy	05/10/21	J		
81.						Buy (add'l)	10/27/21	J		
82.	IShares Gold TR (IAU)		None			Sold	04/12/21	J	A	
83.	Ishares Tr Global Healthcare ETF (IXJ)	A	Dividend	J	T	Buy	02/03/21	J		
84.						Buy (add'l)	05/10/21	J		
85.	IShares Tr Latin Amer 40 ETF (ILF)	A	Dividend			Sold (part)	05/10/21	J	A	

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86.						Sold	08/02/21	J	B	
87.	Ishares Tr JPMorgan USD Emerging Mkts BD ETF (EMB)	A	Dividend	J	T	Buy	02/03/21	J		
88.	Ishares Inc Core MSCI Emerging Mkts ETF (IEMG)	A	Dividend	K	T	Buy	05/10/21	K		
89.						Buy (add'l)	08/02/21	J		
90.	Ishares Tr Core MSCI Intl Developed Mkts ETF (IDEV)	B	Dividend	K	T	Buy	05/10/21	L		
91.						Sold (part)	08/02/21	J		
92.						Sold (part)	10/27/21	J	A	
93.	Ishares Tr MSCI UTD Kingdom ETF New (EWU)	A	Dividend	J	T	Buy	04/12/21	J		
94.						Sold (part)	10/27/21	J	A	
95.	IShares TR Russell 1000 Value ETF (IWD)	A	Dividend			Buy (add'l)	01/05/21	J		
96.						Buy (add'l)	02/03/21	J		
97.						Sold (part)	04/12/21	J	B	
98.						Sold	05/10/21	L	E	
99.	IShares TR Russell 1000 Growth ETF (IWF)	A	Dividend			Buy (add'l)	02/03/21	J		
100.						Sold	05/10/21	L	E	
101.	Ishares TR Russell 2000 ETF (IWM)	A	Dividend			Sold (part)	02/03/21	J	A	
102.						Sold	05/10/21	J	C	

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103. IShares TR Core S&P Small-Cap ETF (IJR)		None			Sold	02/03/21	J	C	
104. IShares Trust MSCI EAFE Small Cap ETF (SCZ)	A	Dividend			Sold	05/10/21	J	A	
105. IShares Tr Global REIT ETF (REET)	A	Dividend			Sold	08/02/21	J	B	
106. IShares Tr Mtg Real Estate ETF (REM)	A	Dividend	J	T					
107. Ishares Tr Broad USD High Yield Corporate Bd ETF (USHY)	A	Dividend	J	T	Buy	05/10/21	J		
108. Pimco ETF TR Enhanced Short Mat (MINT)	A	Dividend	J	T					
109. Select Sector SPDR Tr Health Care (XLV)	A	Dividend	J	T	Buy	05/10/21	J		
110.					Sold (part)	10/27/21	J	A	
111. SPDR Ser Tr Bloom Barc Hi Yield Bd ETF (JNK)	A	Dividend			Sold	02/03/21	J	A	
112. Vanguard Spec Fds Dividend Appreciation (VIG)	A	Dividend	K	T	Sold (part)	02/03/21	J	A	
113.					Sold (part)	05/10/21	J	A	
114.					Buy (add'l)	08/02/21	J		
115. Vanguard Whithall FDS Intl Divid Appreciation ETF SHS (VIGI)	A	Dividend	J	T	Buy	08/02/21	K		
116. Vanguard Bd Index Fds (BND)	A	Dividend			Sold (part)	02/03/21	J	A	
117.					Buy (add'l)	04/12/21	J		
118.					Sold	05/10/21	J	A	
119. Vanguard Intl Fd FTSE Developed Mkts (VEA)	B	Dividend			Sold	05/10/21	L	C	

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		

Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Vanguard Intl Equity Index (VWO)	A	Dividend			Sold (part)	02/03/21	J	A	
121.					Buy (add'l)	04/12/21	J		
122.					Sold	05/10/21	K	A	
123. Vanguard Index FDS S&P 500 ETF (VOO)	B	Dividend	M	T	Buy	05/10/21	L		
124.					Sold (part)	08/02/21	J	A	
125.					Sold (part)	10/27/21	J	A	
126. Vanguard Index FDS Vanguard Extended MKT ETF (VXF)	A	Dividend	K	T	Buy	05/10/21	K		
127. Vanguard FDS Vanguard Growth RTF (VUG)	A	Dividend	K	T	Buy	05/10/21	J		
128. Vanguard Index FDS Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy	05/10/21	J		
129. Account #3 (H)									
130. Western Asset Instl Govt (INGXX) (cash)	A	Interest	J	T					
131. Ishares Tr Core US Aggregate Bd ETF (AGG)	A	Dividend	K	T	Buy	05/10/21	J		
132.					Buy (add'l)	10/27/21	J		
133. IShares Gold Tr (IAU)		None			Sold	04/12/21	J		
134. Ishares Tr Globel Healthcare ETF (IXJ)	A	Dividend	J	T	Buy	02/03/21	J		
135.					Buy (add'l)	05/10/21	J		
136.					Sold (part)	09/02/21	J		

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
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3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. IShares Tr Latin Amer 40 ETF (ILF)	A	Dividend			Sold	08/02/21	J		
138. IShares Tr Russell 1000 Value ETF (IWD)	A	Dividend			Sold (part)	01/12/21	J		
139.					Buy (add'l)	02/03/21	J		
140.					Sold (part)	04/12/21	J		
141.					Sold	05/10/21	L		
142. IShares Tr Russell 1000 Growth ETF (IWF)	A	Dividend			Sold (part)	01/12/21	J		
143.					Buy (add'l)	02/03/21	J		
144.					Buy (add'l)	04/12/21	J		
145.					Sold	05/10/21	L		
146. Ishares Tr Russell 2000 ETF (IWM)	A	Dividend			Sold (part)	01/21/21	J		
147.					Buy (add'l)	02/03/21	J		
148.					Sold	05/10/21	J		
149. IShares Tr Core S&P Small-Cap ETF (IJR)		None			Sold (part)	01/12/21	J		
150.					Sold	02/03/21	J		
151. IShares Trust MSCI Small Cap ETF (SCZ)	A	Dividend			Sold	05/10/21	J		
152. IShares Tr JPMorgan Emerging Mkts (EMB)	A	Dividend	J	T	Buy (add'l)	02/03/21	J		
153. Ishares Inc Core MSCI Emerging Mkts ETF (IEMG)	A	Dividend	K	T	Buy	05/10/21	K		

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	
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3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Sold (part)	05/11/21	J		
155.					Buy (add'l)	08/02/21	J		
156.					Sold (part)	09/02/21	J		
157. IShares Tr Global REIT ETF (REET)	A	Dividend			Sold	08/02/21	J		
158. Ishares Tr Core MSCI Intl Developed Mkts ETF (IDEV)	B	Dividend	K	T	Buy	05/10/21	L		
159.					Sold (part)	05/11/21	J		
160.					Sold (part)	08/02/21	K		
161.					Sold (part)	09/02/21	J		
162.					Sold (part)	10/27/21	J		
163. Ishares Tr MSCI UTD Kingdom ETF New (EWU)	A	Dividend	J	T	Buy	04/12/21	J		
164.					Sold (part)	10/27/21	J		
165. IShares Tr Mtg Real Estate ETF (REM)	A	Dividend	J	T					
166. Ishares Tr Broad USD High Tield Corporate Bd ETF (USHY)	A	Dividend	J	T	Buy	05/10/21	J		
167. Pimco ETF Tr Enhanced Short Mat (MINT)	A	Dividend	J	T					
168. Select Sector SPDR Tr Health Care (XLV)	A	Dividend	J	T	Buy	05/10/21	J		
169.					Sold (part)	10/27/21	J		
170. SPDR Ser Tr Bloom Barc Hi Yield Bd ETF (JNK)	A	Dividend			Sold	02/03/21	J		

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	
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Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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171. Vanguard Spec Fds Dividend Appreciation (VIG)	A	Dividend	K	T	Sold (part)	01/12/21	J		
172.					Sold (part)	02/03/21	J		
173.					Sold (part)	05/10/21	J		
174.					Sold (part)	05/11/21	J		
175.					Buy (add'l)	08/02/21	J		
176.					Sold (part)	09/02/21	J		
177. Vanguard Whithall FDS Intl Divid Appreciation ETF SHS (VIGI)	A	Dividend	J	T	Buy	08/02/21	K		
178. Vanguard Bd Index Fds (BND)	A	Dividend			Sold (part)	02/03/21	J		
179.					Buy (add'l)	04/12/21	J		
180.					Sold	05/10/21	J		
181. Vanguard Intl Fd FTSE Developed Mkts (VEA)	A	Dividend			Sold (part)	01/12/21	J		
182.					Sold	05/10/21	L		
183. Vanguard Intl Equity Index (VWO)	A	Dividend			Sold (part)	01/12/21	J		
184.					Sold (part)	02/03/21	J		
185.					Buy (add'l)	04/12/21	J		
186.					Sold	05/10/21	K		
187. Vanguard Index FDS S&P 500 ETF (VOO)	B	Dividend	M	T	Buy	05/10/21	M		

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	
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3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Sold (part)	05/11/21	J		
189.					Sold (part)	08/02/21	J		
190.					Sold (part)	09/02/21	J		
191. Vanguard Index FDS Vanguard Extended MKT ETF (VXF)	A	Dividend	K	T	Buy	05/10/21	K		
192.					Sold (part)	05/11/21	J		
193.					Sold (part)	09/02/21	J		
194. Vanguard FDS Vanguard Growth RTF (VUG)	A	Dividend	J	T	Buy	05/10/21	K		
195.					Sold (part)	05/11/21	J		
196.					Sold (part)	09/02/21	J		
197. Vanguard Index FDS Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy	05/10/21	K		
198.					Sold (part)	05/11/21	J		
199.					Sold (part)	09/02/21	J		

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
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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		
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Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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

Part VII, [redacted] Employees Stock Ownership Plan: The investments of this ESOP, which was established in 2009, are not participant-directed. The information reported is the most recent available information, which is as of 12/31/2020.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Name of Person Reporting	Date of Report
Swain, Laura T.	08/12/2022

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/ Laura T. Swain

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