NEW YORK STATE NYS Financial Disclosure System

COPY

Final FDS : SCHWARTZ

Attach File | Delete Item

* indicates a required field

FDS FOR CALENDAR YEAR:

YEAR

2010

PRE-FILL *(Optional)*

TO FILL FORM WITH ANSWERS FROM YOUR PREVIOUS FILINGS:

(1) Select year from drop-down menu. (2) Click Pre-fill button.

Select year ...

(NOTE: The pre-fill option will overwrite any data that you may already have in the form below.)

1. NAME

(Last)	(First)	(MI)
SCHWARTZ	LAWRENCE	

2. POSITION

(a) TITLE OF POSITION	(b) DEPARTMENT / AGENCY
SENIOR ADVISOR	EXECUTIVE CHAMBER EXECUTIVE

(c) OFFICE ADDRESS	(d) OFFICE TELEPHONE
Executive Chamber State Capitol Albany, N.Y. 12224	518-402-2403

3. FAMILY

(a) MARITAL STATUS	SPOUSE'S FULL NAME (incl. maiden)
Married	Susan Hessney

4. OUTSIDE ACTIVITIES

Help

☑ NONE

(a) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before any state or local agency, list the name of any such agency.

☑ NONE

(b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

5. OUTSIDE EMPLOYMENT

(a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above),

☑ NONE	Help	trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of the agency.
☑ NONE		(b) If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.
6. CONTRACTS ☑ NONE	Help	List any interest, in EXCESS of $1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT ... [click for more]
7. POLITICAL ACTIVITIES ☑ NONE	Help	List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the Election Law. The term "political organization" means any party or independent body as defined in the Election Law or any organization that is affiliated with or a subsidiary of a party or independent body.
8. PROFESSION & BUSINESS ☑ NONE	Help	(a) If the reporting individual practices law, is licensed by the Department of State as a real estate broker or agent, or practices a profession licensed by the Department of Education, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation. Do not list the name of individual clients, customers or patients.
☑ NONE		(b) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of $1,000 excluding investments in securities and interests in real property.
9. GIFTS ☑ NONE	Help	List each source of gifts, EXCLUDING campaign contributions, in EXCESS of $1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in Item 10. Indicate the value and nature of each such gift.
10. REIMBURSEMENTS ☑ NONE	Help	Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of $1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements,

conferences, or factfinding events. The term "reimbursement" does NOT include gifts reported under Item 9.

11. RETIREMENT, TRUSTS, ESTATES

Help

☑ NONE

List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans other than retirement plans of the State of New York or the City of New York, and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the Internal Revenue Code in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of $1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

12. EMPLOYMENT AGREEMENTS

Help

☑ NONE

(a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

☑ NONE

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of $1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

13. NON-STATE INCOME

Help

☐ NONE

List below the nature and amount of any income in EXCESS of $1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, ... [click for more]

	PERSONS	SOURCE	NATURE	AMOUNT
x	Spouse	Merrill Lynch	IRA	
x	Self	Merrill Lynch	IRA	
x	Self	Merrill Lynch	IRA	
x	Self & Spouse	Merrill Lynch	Dell	
x	Self & Spouse	Merrill Lynch	Emerson Electric Co	
x	Self & Spouse	Merrill Lynch	Equinix Inc	
x	Self & Spouse	Merril Lynch	Mobile Exon	
x	Self & Spouse	Merrill Lyncy	General Electric	
x				
x	Self & Spouse	Merrill Lynch	Home Depot	
x	Self & Spouse	ML	Johnson and Johnson	
x	Self & Spouse	ML	JP Morgan Chase	
x	Self & Spouse	ML	McDonalds Corp	
x	Self & Spouse	ML	Occidental Petroleum	
x	Self & Spouse	ML	Pepsico	
x	Self & Spouse	ML	Pfizer Inc	
x	Self & Spouse	ML	Plum Creek Timber	
x	Self & Spouse	ML	Proctor and Gamble	
x				

	Self & Spouse	ML	United Sts Stl Corp
x	Self & Spouse	ML	Vale SA
x	Self & Spouse	ML	Verizon Communications
x	Self & Spouse	ML	Williams Companies
x	Self & Spouse	ML	Western Digital Corp
x	Self & Spouse	ML	Yum Brands
x	Self & Spouse	Merrill Lynch	IShares Dow Jones US
x	Self & Spouse	ML	IShares MSCI Brazil Free
x	Self & Spouse	ML	Oppenheimer Limited Term
x	Self & Spouse	ML	Power Shares TR Units
x	Self & Spouse	ML	Standard and Poors
x	Self & Spouse	Merrill Lynch	Cash Mgmt Account

14. INCOME DUE

Help

☑ NONE

List the sources of any deferred income (not retirement income) in EXCESS of $1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in Item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

15. INCOME ASSIGNMENT / ASSET TRANSFER

Help

☑ NONE

List each assignment of income in EXCESS of $1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of $1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

16. INVESTMENTS

Help

☐ NONE

Have a lot of investments? You can now upload all of them at once in Excel or PDF format: click HERE!
(Will appear at bottom of form.)

List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of $1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY ... [click for more]

PERSONS | ISSUING ENTITY | TYPE

% OWNED % | VALUE

	PERSONS	ISSUING ENTITY	TYPE
x	Self	IRA	
x	Spouse	IRA	
x	Self & Spouse	Dell	Common Stock
x	Self & Spouse	Emerson Elec	Common Stock
x	Self & Spouse	Equinix Inc	Common Stock
x	Self & Spouse	Home Depot	Common Stock
x	Self & Spouse	Johnson and Johnson	Common Stock
x	Self & Spouse	JPMorgan Chase	Common
x	Self & Spouse	McDonalds	Common
x	Self & Spouse	Occidental Petroleum	Common
x	Self & Spouse	Pepsico	Common

x	Self & Spouse	Pfizer Inc	Common
x	Self & Spouse	Plum Creek	Common
x	Self & Spouse	Proctor and Gamble	Common
x	Self & Spouse	United Steel	Common
x	Self & Spouse	Vale SA	Common
x	Self & Spouse	Verizon Communications	Common
x	Self & Spouse	Williams Companies	Common
x	Self & Spouse	Western Digital Corp	Common
x	Self & Spouse	Yum Brands	Common
x	Self & Spouse	Ishares Dow Jones US	Mutual Fund
x	Self & Spouse	IShares MSCI Brazil Free	Common
x	Self & Spouse	Oppenheimer Limited Term	Mutual Fund
x	Self & Spouse	Powershares QQQ TR	Mutual Fund
x	Self & Spouse	Standard and Poors	Mutual Fund

17. REAL ESTATE

☑ NONE

Help

List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of $1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

18. MONEY DUE

☑ NONE

Help

List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of $1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in Item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

19. DEBTS

☑ NONE

Help

List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of $5,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of ... [click for more]

20. AGREEMENT

I declare under penalty of perjury that the information contained in this form is true, correct and complete to the best of my knowledge and belief.

Check box to agree with previous statements: ☑

INCOMPLETE QUESTIONS Complete

AMENDMENT Received ☐

Self & Spouse	Pfizer Inc	Common
Self & Spouse	Plum Creek	Common
Self & Spouse	Proctor and Gamble	Common
Self & Spouse	United Steel	Common
Self & Spouse	Vale SA	Common
Self & Spouse	Verizon Communications	Common
Self & Spouse	Williams Companies	Common
Self & Spouse	Western Digital Corp	Common
Self & Spouse	Yum Brands	Common
Self & Spouse	Ishares Dow Jones US	Mutual Fund
Self & Spouse	IShares MSCI Brazil Free	Common
Self & Spouse	Oppenheimer Limited Term	Mutual Fund
Self & Spouse	Powershares QQQ TR	Mutual Fund
Self & Spouse	Standard and Poors	Mutual Fund

NONE

NONE

NONE

20. AGREEMENT

I declare under penalty of perjury that the information contained in this form is true, correct and complete to the best of my knowledge and belief.

Check box to agree with previous statements:

INCOMPLETE QUESTIONS Complete

AMENDMENT Received