

NEW YORK STATE NYS Financial Disclosure System

NYS Financial Disclosure System > Final FDS > SCHWARTZ > Edit Item

Final FDS : SCHWARTZ

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* indicates a required field

FDS FOR CALENDAR YEAR: YEAR
2011 ▾

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

<i>(Last)</i>	<i>(First)</i>	<i>(MI)</i>
SCHWARTZ	LAWRENCE	

Email _____

2. POSITION

(a) TITLE OF POSITION	(b) DEPARTMENT / AGENCY
SECRETARY TO THE GOVERNOR	EXECUTIVE CHAMBER EXECUTIVE
(c) OFFICE ADDRESS	(d) OFFICE TELEPHONE
Executive Chamber State Capitol Albany, NY 12224	518-474-4246

3. FAMILY

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

4. OUTSIDE ACTIVITIES

NONE [Help](#)

(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

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.

NONE [Help](#)

12. EMPLOYMENT AGREEMENTS

(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 [Help](#)

(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.)

NONE

13. NON-STATE INCOME

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, ... [\[click for more\]](#)

NONE [Help](#)

PERSONS	SOURCE	NATURE	AMOUNT
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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	Merrill Lynch	Mobile Exon
x	Self & Spouse	Merrill Lynch	General Electric
x	Self & Spouse	Merrill Lynch	Home Depot
x	Self & Spouse	ML	Johnson & Johnson
x	Self & Spouse	ML	JP Morgan Chase
x	Self & Spouse	ML	McDonalds Corporation
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 & 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 ML IShares Dow Joes 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 ML Cash Management Account

14. INCOME DUE

NONE

[Help](#)

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

NONE

[Help](#)

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

NONE

[Help](#)

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	
	%	
x Self	IRA	
x Spouse	IRA	
x Self & Spouse	Dell	Common Stock
x Self & Spouse	Emerson Elec	Common Stock
x Self & Spouse	Equinox Inc	Common Stock
x Self & Spouse	Home Depot	Common Stock
x Self & Spouse	Johnson and Johnson	Common Stock
x Self & Spouse	JPMorgan Chase	Comon Stock

x	Self & Spouse	McDonalds	Common Stock
x	Self & Spouse	Occidental Petroleum	Common Stock
x	Self & Spouse	Pepsico	Common
x	Self & Spouse	Pfizer	Common
x	Self & Spouse	Plum Creek	Common Stock
x	Self & Spouse	Proctor & Gamble	Common Stock
x	Self & Spouse	United Steel	Common Stock
x	Self & Spouse	Vale SA	Common
x	Self & Spouse	Verizon Communications	Common
x	Self & Spouse	Williams Companies	Common Stock
x	Self & Spouse	Western Digital Corp	Common Stock
x	Self & Spouse	Yum Brands	Common
x	Self & Spouse	IShares Dow Jones US	Mutual Fund
x	Self & Spouse	IShares MSCI Brazil Free	Comon
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

[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

NONE

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