

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) PAULEY, WILLIAM H.	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/09/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NEW YORK 10007-1581		
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. Senior Member of Board of Visitors	Duke University School of Law
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1998	Continuation of payments agreement with former law partner, Franklyn H. Snitow, and his law firm, Snitow Kanfer Holtzer & Millus, LLP.
2.	
3.	

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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>INCOME</u> (yours, not spouse's)
1. 06/2012	Duke University Center for Judicial Studies - Lecture Fee	\$1,000.00
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. 2012	Self-Employed Licensed Real Estate Sales Person and Insurance Agent
2. 2012	Self-Employed Floral Designer
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. Duke University School of Law	April 19 - 20, 2012	Durham, NC	Board of Visitors Meeting	Travel, food, and lodging.
2. Duke University School of Law	June 14 - 15, 2012	Durham, NC	Center for Judicial Studies	Travel, food, and lodging.
3. Duke University School of Law	September 27 - 28, 2012	Durham, NC	Board of Visitors Meeting	Travel, food and lodging.
4.				
5.				
6.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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.)

☐ 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. MUTUAL FUNDS									
2. AGDAX - ALLIANCE BERNSTEIN HIGH INC FD	A	Dividend			Sold	12/27/12	K		
3. GSFTX - COLUMBIA FDS SER TR1 DIV INC	A	Dividend			Sold	12/27/12	K		
4. DPLTX - DREYFUS HIGH YIELD FD	A	Dividend			Sold	09/10/12	J		
5. ICHHX - FRANKLIN/TEMPLETON HARD CUR FD	A	Dividend	K	T					
6. FNYZX - FRANKLIN NY TAX FREE INT TRM (formerly FNYTZ)	A	Interest			Sold	12/27/12	L		
7. HIPIX - HARTFORD INFLATION PLUS FD	A	Interest			Sold	12/27/12	K		
8. LISFX - LORD ABBETT MUN INC TR INTER FD	A	Dividend			Sold	9/10/12	J		
9. TGBAX - TEMPLETON GLOBAL BOND FD	A	Interest			Sold	12/27/12	K		
10. LFRFX - LORD ABBETT INVT TR FLTG RATE FD CLF	A	Interest			Sold	9/10/12	J		
11. AFVPX - ALLIANZ NFJ INTL VALUE FD CL P	A	Interest	K	T					
12. CIGIX - CALAMOS INVT TR NEW INTL GROWTH FD CL I	A	Interest	K	T					
13. GNYTX - COLUMBIA FDS SER TR 1 NY INTERMEDIATE MUN BD FD CL Z	A	Interest			Sold	12/27/12	K		
14. DWOIX - DREYFUS RESH GROWTH FD INC SHS CL I	A	Interest			Sold	04/04/12	K		
15. DFRPX - DWS PORTFOLIO TR FLTG RATE PLUS FD CL S	A	Interest	J	T					
16. HRVIX - HEARTLAND GROUP INC VALUE PLUS FUND	A	Interest	J	T					
17. JSTIX - HANCOCK JOHN STRATEGIC SER INCOME FD CL I	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	

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☐ 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)
18. NMCAX - ING EQUITY TR MID CAP OPPTY FD CL A		None	J	T					
19. CNSDX - INVESCO CONVERTIBLE SECURITIES FUND CLASS Y	A	Interest	K	T					
20. JSMGX - JANUS INVT FD TRITON FD CL I	A	Interest	J	T					
21. VANTX - JPMORGAN TR I NY TAX FREE BD FD CL A	A	Interest			Sold	12/27/12	K		
22. LHYFX - LORD ABBETT HIGH YIELD FD CL F	A	Interest	J	T					
23. FAQIX - NUVEEN EQUITY INCOME FUND CL Y	A	Interest			Sold	12/27/12	K		
24. OOSYX - OPPENHEIMER SENIOR FLOATING RATE FUND CL Y	A	Interest	J	T					
25. PCRPX - PIMCO FDS COMMODITYREALRETURN STRATEGY P	A	Interest	K	T					
26. PUSYX - PUTNAM US GOVERNMENT INCOME TRUST-CL Y	B	Interest	K	T					
27. VETAX - VICTORY PORTFOLIOS ESTABLISHED VALUE FD CL A	A	Int./Div.	J	T					
28. FMLSX - WASATCH FDS INC LONG/ SHORT FD	A	Interest	J	T	Sold (part)	12/27/12	K		
29. SGRKX - WELLS FARGO ADVANTAGE GROWTH FUND ADMIN CL	A	Interest			Sold	12/27/12	K		
30.									
31. ANNUITIES									
32. DISCOVERY PLUS	C	Interest	M	T					
33.									

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 \$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	

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☐ 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)

34. CASH AND CASH EQUIVALENTS									
35. JP MORGAN CHASE	A	Interest	M	T					
36. U. S. TREASURY BILLS	A	Interest			Redeemed	11/29/12	M		
37. U.S. SAVINGS BONDS	A	Interest	J	T					
38. AXA FIN'L LIFE INS (Cash Surrender Value)	D	Dividend	N	T					
39. AXA FIN'L LIFE INS (Cash Surrender Value)	C	Dividend	M	T					
40. WACHOVIA MONEY MARKET ACCOUNT	A	Interest			Redeemed	2/23/12	J		
41. NEW YORK 529 COLL SVGS MOD AGE-BASED OPT: INCOME PORTFOLIO	A	Interest	K	T	Sold (part)	8/30/12	K		
42. NEW YORK 529 COLL SVGS MOD AGE-BASED OPT: CONSERV GROWTH	A	Interest	L	T	Buy (add'l)	12/20/12	J		
43. NEW YORK 529 COLL SVGS INTEREST ACCUMULATION PORTFOLIO	A	Interest	J	T					
44. TRMXX - RBC PRIME MONEY MARKET FD RESERVE CL	A	Interest	N	T	Buy (add'l)	12/27/12	N		
45.									
46. RETIREMENT ACCOUNTS									
47. 401K PLAN - ING	A	Interest	K	T					
48. IRA SCUDDER - DWS CORE PLUS INCOME FUND	C	Interest	K	T					
49. IRA SCUDDER - DWS GLOBAL THEMATIC FUND	B	Interest	J	T					
50. ACMXX - RBC MONEY MARKET OBLIGATIONS TRUST	A	Interest	J	T					

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51. AGDAX - ALLIANCE BERNSTEIN HIGH INC FD	A	Dividend	K	T					
52. BGNIX - BLACKROCK GNMA PORTFOLIO	A	Dividend			Sold	09/13/12	J		
53. GSFTX - COLUMBIA FDS SER TR1 DIV INC	A	Dividend	J	T					
54. DPLTX - DREYFUS HIGH YIELD FD	A	Interest			Sold	09/10/12	J		
55. ICHHX - FRANKLIN/TEMPLETON HARD CUR FD	A	Dividend	J	T					
56. HIPIX - HARTFORD INFLATION PLUS FD	A	Dividend	J	T					
57. HLLVX - JP MORGAN SHORT DUR BOND FD	A	Dividend			Sold	09/13/12	J		
58. WBDX - JP MORGAN TR2 CORE BD	A	Dividend			Sold	09/10/12	J		
59. PAGNX - PIMCO GNMA FD	A	Dividend			Sold	09/13/12	J		
60. TGBAX - TEMPLETON GLOBAL BOND FD	A	Dividend	J	T					
61. LFRFX - LORD ABBETT INVT TR FLTG RATE FD CLF	A	Interest			Sold	09/13/12	J		
62. RBLCX - RUSSELL INVT BALANCED STRATEGY FD CL C	A	Dividend	K	T	Buy (add'l)	04/10/12	J		
63. AGDAX - ALLIANCE BERNSTEIN HIGH INCOME FUND CL A	A	Interest	J	T					
64. AFVPX - ALLIANZ NFJ INTL VALUE FD CL P	A	Interest	J	T					
65. CIGIX - CALAMOS INVT TR NEW INTL GROWTH FD CL I	A	Interest	J	T					
66. DWOIX - DREYFUS RESH GROWTH FD INC SHS CL I	A	Interest	J	T					
67. DFRPX - DWS PORTFOLIO TR FLTG RATE PLUS FD CL S	A	Interest	J	T					

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68. ICHHX - FRANKLIN/TEMPLETON HARD CURRENCY FUND-ADVISOR CL	A	Dividend	J	T					
69. JSTIX - HANCOCK JOHN STRATEGIC SER INCOME FD CL I	A	Interest	K	T					
70. HIPIX - HARTFORD INFLATION PLUS FUND CL I	A	Interest	J	T					
71. HRVIX - HEARTLAND GROUP INC VALUE PLUS FUND	A	Interest	J	T					
72. NMCAX - ING EQUITY TR MID CAP OPPTYS FD CL A		None	J	T					
73. CNSDX - INVESCO CONVERTIBLE SECURITIES FUND CLASS Y	A	Interest	J	T					
74. JSMGX - JANUS INVT FD TRITON FD CL I	A	Interest	J	T					
75. LHYFX - LORD ABBETT HIGH YIELD FD CL F	A	Interest	J	T					
76. FAQIX - NUVEEN EQUITY INCOME FUND CL Y	A	Interest	J	T					
77. PCRPX - PIMCO FDS COMMODITYREALRETURN STRATEGY P	A	Dividend	J	T					
78. PUSYX - PUTNAM US GOVERNMENT INCOME TRUST-CL Y	A	Interest	K	T					
79. TGBAX - TEMPLETON GLOBAL BOND FD	A	Interest	J	T					
80. VETAX - VICTORY PORTFOLIOS ESTABLISHED VALUE FD CL A	A	Interest	J	T					
81. SGRKX - WELLS FARGO ADVANTAGE GROWTH FUND ADMIN CL		None	J	T					
82. FMLSX - WASATCH FDS INC LONG/ SHORT FD	A	Interest	J	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

None.

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

Signature: S/ **WILLIAM H. PAULEY**

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