

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Sharpe, Gary L.	2. Court or Organization U.S. District Court, NDNY	3. Date of Report 05/07/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief District Court Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address James T. Foley Courthouse 445 Broadway Albany, New York 12207		
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.		
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.	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2014

Realty USA - Independent Contractor - Commissions

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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. New York College Tuition Savings # 1 (529)	B	Dividend	J	T					
2. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	01/01/14	J		
3.					Buy (add'l)	02/01/14	J		
4.					Buy (add'l)	03/01/14	J		
5.					Buy (add'l)	04/01/14	J		
6.					Buy (add'l)	05/01/14	J		
7.					Buy (add'l)	06/01/14	J		
8.					Buy (add'l)	07/01/14	J		
9.					Buy (add'l)	08/01/14	J		
10.					Buy (add'l)	09/01/14	J		
11.					Buy (add'l)	10/01/14	J		
12.					Buy (add'l)	11/01/14	J		
13.					Buy (add'l)	12/01/14	J		
14. New York College Tuition Savings #2 (529)	B	Dividend	J	T					
15. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	01/01/14	J		
16.					Buy (add'l)	02/01/14	J		
17.					Buy (add'l)	03/01/14	J		

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 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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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 I (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.					Buy (add'l)	04/01/14	J		
19.					Buy (add'l)	05/01/14	J		
20.					Buy (add'l)	06/01/14	J		
21.					Buy (add'l)	07/01/14	J		
22.					Buy (add'l)	08/01/14	J		
23.					Buy (add'l)	09/01/14	J		
24.					Buy (add'l)	10/01/14	J		
25.					Buy (add'l)	11/01/14	J		
26.					Buy (add'l)	12/01/14	J		
27.	Edward Jones IRA #1; F/Known as Excel Securities IRA #2)	E	Dividend	N	T				
28.	-Apple Common ("AAPL")				Sold (part)	04/10/14	K	C	
29.					Buy (add'l)	04/29/14	K		
30.					Buy (add'l)	07/11/14	K		
31.					Buy (add'l)	08/25/14	K		
32.					Buy (add'l)	09/19/14	J		
33.					Buy (add'l)	10/13/14	J		
34.					Buy (add'l)	11/03/14	J		

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)

35. -Celgene Common ("CELG")					Buy (add'l)	02/12/14	K		
36.					Sold (part)	03/11/14	K	A	
37. -Facebook Inc Common ("FB")					Buy (add'l)	04/03/14	J		
38.					Sold (part)	04/10/14	L	D	
39.					Buy (add'l)	04/15/14	K		
40.					Buy (add'l)	04/29/14	J		
41.					Sold (part)	06/16/14	K	C	
42.					Buy (add'l)	09/23/14	J		
43.					Buy (add'l)	10/13/14	J		
44. -Gilead Sciences Inc Common ("GILD")					Sold (part)	03/14/14	K	D	
45.					Buy (add'l)	04/15/14	K		
46.					Sold	09/17/14	K	D	
47. -Apache Corp Common ("APA")					Sold	02/12/14	J	A	
48. -Celldex Therapeutics Inc New ("CLDX")					Buy	11/20/14	K		
49.					Sold	12/10/14	K	A	
50. -Comcast Corp Common ("CMCSA")					Sold	01/17/14	K	B	
51. -EOG Resources Inc Common ("EOG")					Buy	06/16/14	K		

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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☐ 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				
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52.					Sold	07/21/14	K	A	
53. -Google Inc CL A Common ("GOOG")					Buy	04/03/14	L		
54.					Sold	04/10/14	L	A	
55.					Buy	04/15/14	K		
56. -NPS Pharmaceuticals Inc Common ("NPSP")					Sold	03/06/14	K	B	
57. -United Health Group Inc Common ("UNH")					Sold	01/16/14	K	A	
58. -Accelaron Pharma Common ("XLRN")					Buy	08/25/14	K		
59. -Alibaba Group Holding Common ("BABA")					Buy	09/19/14	J		
60.					Buy (add'l)	09/22/14	K		
61.					Buy (add'l)	09/23/14	J		
62.					Buy (add'l)	10/13/14	J		
63.					Buy (add'l)	11/03/14	J		
64.					Buy (add'l)	12/11/14	J		
65. -Arrowhead Research Corp Common ("ARWR")					Buy	07/11/14	J		
66.					Buy (add'l)	08/12/14	K		
67.					Sold	08/25/14	K	B	
68. -Baidu Common ("BIDU")					Buy	08/11/14	K		

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69.					Sold	08/25/14	K	A	
70. -Conocophillips Common ("COP")					Buy	06/16/14	K		
71.					Sold	07/10/14	K	A	
72. -EMC Corp Common ("EMC")					Buy	07/11/14	J		
73.					Sold	08/11/14	J	A	
74. -Gopro Common ("GPRO")					Buy	07/21/14	K		
75.					Sold	08/12/14	K	A	
76.					Buy	09/23/14	K		
77.					Sold	10/29/14	K	D	
78. -Intercept Pharmaceuticals Common ("ICPT")					Buy	01/17/14	K		
79.					Sold	04/03/14	K	C	
80.					Buy	08/12/14	K		
81.					Buy (add'l)	08/25/14	J		
82. -Mastercard Incorporated Common ("MA")					Buy	04/15/14	K		
83.					Sold	06/16/14	L	B	
84. -Mobileye NV Common (MBLY")					Buy	09/23/14	J		
85.					Sold	11/28/14	K	A	

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86. -Neostem Inc Common (NBS")					Buy	03/06/14	K		
87.					Sold	04/29/14	K	A	
88. -Proctor & Gamble Co Common ("PG")					Buy	03/11/14	K		
89.					Sold	07/25/14	K	C	
90. -Southwest Airline Common ("LUV")					Buy	12/08/14	K		
91.					Buy (add'l)	12/10/14	J		
92. -Tesoro Corporation Common ("TSO")					Buy	06/16/14	K		
93.					Sold	07/10/14	K	A	
94. -Thermo Fisher Scientific Common ("TMO")					Buy	07/17/14	K		
95.					Sold	08/11/14	K	A	
96. -Valero Energy Corp New Common ("VLO")					Buy	06/16/14	K		
97.					Sold	07/17/14	K	A	
98. -Yahoo Inc Common ("YHOO")					Buy	09/19/14	K		
99.					Sold	12/08/14	K	C	

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

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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/ Gary L. Sharpe

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