

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 03/19/2014
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 01/01/2013 to 12/31/2013
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. 2013

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)	C	Dividend	J	T					
2. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	02/01/13	J		
3.					Buy (add'l)	03/01/13	J		
4.					Buy (add'l)	04/01/13	J		
5.					Buy (add'l)	05/01/13	J		
6.					Buy (add'l)	06/01/13	J		
7.					Buy (add'l)	07/01/13	J		
8.					Buy (add'l)	08/01/13	J		
9.					Buy (add'l)	09/01/13	J		
10.					Buy (add'l)	10/01/13	J		
11.					Buy (add'l)	11/01/13	J		
12.					Buy (add'l)	12/01/13	J		
13. New York College Tuition Savings #2 (529)	B	Dividend	J	T					
14. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	02/01/13	J		
15.					Buy (add'l)	03/01/13	J		
16.					Buy (add'l)	04/01/13	J		
17.					Buy (add'l)	05/01/13	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 ~\$250,000,001 - \$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 \$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 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)	06/01/13	J		
19.					Buy (add'l)	07/01/13	J		
20.					Buy (add'l)	08/01/13	J		
21.					Buy (add'l)	09/01/13	J		
22.					Buy (add'l)	10/01/13	J		
23.					Buy (add'l)	11/01/13	J		
24.					Buy (add'l)	12/01/13	J		
25.	Edward Jones IRA #1; F/Known as Excel Securities IRA #2)	F	Dividend	M	T				
26.	-Apple Common ("AAPL")				Sold (part)	01/11/13	L	A	
27.					Sold (part)	01/31/13	J	A	
28.					Sold (part)	02/28/13	J	A	
29.					Sold (part)	03/26/13	J	A	
30.					Sold (part)	04/23/13	L	A	
31.					Buy (add'l)	05/06/13	J		
32.					Buy (add'l)	05/07/13	J		
33.					Buy (add'l)	05/09/13	J		
34.					Sold (part)	05/15/13	K	A	

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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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.					Buy (add'l)	08/12/13	K		
36.					Buy (add'l)	08/13/13	K		
37.					Sold (part)	08/23/13	J	A	
38.					Sold (part)	09/16/13	L	A	
39.					Buy (add'l)	10/10/13	K		
40.	-Celgene Common ("CELG")				Sold (part)	01/31/13	J	A	
41.					Sold (part)	02/28/13	J	A	
42.					Sold (part)	03/26/13	J	A	
43.					Sold (part)	05/24/13	J	A	
44.					Sold (part)	06/19/13	K	E	
45.					Buy (add'l)	06/25/13	K		
46.					Sold (part)	07/23/13	J	A	
47.					Sold (part)	08/13/13	K	D	
48.	-Qualcomm Common ("QCOM")				Sold (part)	01/31/13	J	A	
49.					Sold (part)	02/28/13	J	A	
50.					Sold (part)	03/26/13	J	A	
51.					Sold	04/30/13	J	A	

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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				
	(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)
52. -Facebook Inc Common ("FB")					Sold (part)	01/31/13	J	A	
53.					Sold (part)	02/28/13	J	A	
54.					Buy (add'l)	03/11/13	K		
55.					Sold (part)	03/26/13	J	A	
56.					Buy (add'l)	05/15/13	J		
57.					Sold (part)	05/24/13	J	A	
58.					Sold (part)	07/19/13	K	A	
59.					Buy (add'l)	10/10/13	K		
60. -Costco Wholesale Corp Common ("COST")					Sold (part)	01/31/13	J	A	
61.					Sold (part)	12/28/13	J	A	
62.					Sold	03/06/13	J	A	
63. -Sina.Com Common ("SINA")					Buy	01/11/13	K		
64.					Sold (part)	01/31/13	J	A	
65.					Sold (part)	02/28/13	J	A	
66.					Sold	03/11/13	K	A	
67. -Monsanto Co New Common ("MON")					Buy	01/11/13	K		
68.					Sold (part)	01/31/13	J	A	

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69.					Sold (part)	02/28/13	J	A	
70.					Sold	03/07/13	K	A	
71. -NASDAQ Biotechnology Index Fund ("IBB")					Buy	01/16/13	K		
72.					Sold (part)	01/13/13	J	A	
73.					Sold (part)	02/28/13	J	A	
74.					Sold (part)	03/26/13	J	A	
75.					Sold	05/06/13	K	D	
76. -Gilead Sciences Inc Common ("GILD")					Buy	07/10/13	J		
77.					Sold (part)	07/23/13	J	A	
78.					Sold (part)	08/08/13	J	A	
79.					Buy (add'l)	10/10/13	K		
80. -Amazon.com Inc Common ("AMZN")					Buy	07/25/13	K		
81.					Sold	08/02/13	K	A	
82. -Apache Corp Common ("APA")					Buy	09/17/13	J		
83.					Sold (part)	09/24/13	J	A	
84. -Arena Pharmaceuticals Common ("ARNA")					Buy	08/01/13	J		
85.					Sold	08/08/13	J	A	

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86. -Avanir Pharmaceuticals Class A Common ("AVNR")					Buy	07/10/13	J		
87.					Sold (part)	07/23/13	J	A	
88.					Sold	08/12/13	J	A	
89. -Biogen IDEC Inc Common ("BIIB")					Buy	07/19/13	K		
90.					Sold (part)	07/23/13	J	A	
91.					Sold	08/12/13	K	A	
92. -Catamaran Corp Common ("CTRX")					Buy	08/02/13	K		
93.					Sold (part)	08/23/13	J	A	
94.					Sold	08/27/13	K	A	
95. -Celldex Therapeutics Inc New ("CLDX")					Buy	06/24/13	K		
96.					Sold (part)	07/23/13	J	A	
97.					Buy (add'l)	08/08/13	J		
98.					Sold (part)	08/23/13	J	A	
99.					Buy (add'l)	09/16/13	J		
100.					Sold (part)	09/24/13	J	A	
101.					Sold	10/03/13	L	E	
102. -Cerner Corp Common ("CERN")					Buy	03/08/13	K		

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103.					Sold (part)	03/26/13	J	A	
104.					Sold (part)	05/01/13	J	A	
105.					Sold (part)	05/24/13	J	A	
106.					Sold (part)	07/23/13	J	A	
107.					Sold	07/25/13	J	A	
108. -Chicago Bridge & Iron Co Common ("CBI")					Buy	03/06/13	J		
109.					Sold (part)	03/26/13	J	A	
110.					Sold	04/30/13	J	A	
111. -Comcast Corp Common ("CMCSA")					Buy	09/16/13	K		
112.					Sold (part)	09/24/13	J	A	
113. -EOG Resources Inc Common ("EOG")					Buy	09/09/13	J		
114.					Sold (part)	09/24/13	J	A	
115.					Sold	09/30/13	J	A	
116. -Google Inc CL A Common ("GOOG")					Buy	05/06/13	J		
117.					Buy (add'l)	05/07/13	J		
118.					Buy (add'l)	05/09/13	J		
119.					Sold	06/19/13	K	A	

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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	
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120. -Linkedin Corp Common ("LNKD")					Buy	04/30/13	K		
121.					Buy (add'l)	05/01/13	J		
122.					Sold (part)	05/24/13	J	A	
123.					Sold	06/07/13	K	A	
124. -Marathon Pete Corp Common ("MPC")					Buy	08/08/13	J		
125.					Sold (part)	08/23/13	J	A	
126.					Sold	09/09/13	J	A	
127. -Myriad Genetics Inc Common ("MON")					Buy	10/02/13	K		
128.					Sold	10/11/13	K	A	
129. -National Oilwell Varco Inc Common ("NOV")					Buy	04/24/13	K		
130.					Buy (add'l)	05/15/13	J		
131.					Sold (part)	05/24/13	J	A	
132.					Sold	06/19/13	K	A	
133. -NPS Pharmaceuticals Inc Common ("NPSP")					Buy	04/24/13	K		
134.					Sold (part)	05/24/13	J	A	
135.					Sold (part)	06/19/13	K	B	
136.					Buy (add'l)	07/15/13	K		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	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.)

☐ 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)
137.					Sold (part)	07/23/13	J	A	
138.					Sold (part)	08/23/13	J	A	
139.					Sold (part)	09/24/13	J	A	
140.					Sold (part)	10/09/13	K	D	
141.					Buy (add'l)	10/15/13	K		
142. -Potash Corp of Saskatchewan Inc Common ("CA:POT")					Buy	06/07/13	K		
143.					Sold	07/15/13	K	A	
144. -Priceline.Com Inc New Common ("PCLN")					Buy	06/24/13	K		
145.					Sold (part)	07/23/13	J	A	
146.					Sold	07/25/13	K	B	
147. -Regions Financial Corp Common ("RF")					Buy	06/24/13	K		
148.					Sold	07/10/13	K	C	
149. -SONY Corp ADR New Common ("SNE")					Buy	09/16/13	K		
150.					Sold (part)	09/24/13	J	A	
151.					Sold	10/03/13	K	A	
152. -SPDR Gold TR Common ("GLD")					Buy	08/23/13	K		
153.					Sold (part)	09/16/13	J	A	

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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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)
154.					Sold	09/17/13	J	A	
155. -Take-Two Interactive Software Inc Common ("TTWO")					Buy	09/16/13	K		
156.					Sold (part)	09/24/13	J	A	
157.					Sold	09/30/13	K	A	
158. -United Health Group Inc Common ("UNH")					Buy	10/16/13	K		
159. -Visa Inc Cl A Common ("V")					Buy	03/11/13	K		
160.					Sold (part)	03/26/13	J	A	
161.					Sold	05/06/13	K	B	
162. -Zynga Inc Common ("ZNGA")					Buy	07/25/13	J		
163.					Sold	07/30/13	J	A	
164. Edward Jones IRA #2	D	Dividend			Closed	11/25/13	J	D	

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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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
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