

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Crotty, Paul A.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. District Court (S.D.N.Y.)                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>05/06/2013                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge (Active)                                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>500 Pearl Street<br>Room 735<br>New York, New York 10007                                                                                                      |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. 2005 | Verizon Income Deferral Plan (No Control) |
| 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><br>(yours, not spouse's) |
|-------------|-----------------------------------|----------------------------------------|
| 1. 2012     | Verizon Communications (See VIII) | \$213,847.00                           |
| 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     | George Arzt Communications - Salary |
| 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.)*

| <u>SOURCE</u> | <u>DATES</u> | <u>LOCATION</u> | <u>PURPOSE</u> | <u>ITEMS PAID OR PROVIDED</u> |
|---------------|--------------|-----------------|----------------|-------------------------------|
| 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.)*

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 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.)*

|    | <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|-----------------|--------------------|-------------------|
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. American Express                                                                                                         | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/20/12                | L                               | F                              |                                                                   |
| 2. Ameriprise Finl Inc.                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/20/12                | K                               | E                              |                                                                   |
| 3. CBOE Holdings                                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 5/18/12                 | J                               |                                |                                                                   |
| 4. Coca Cola                                                                                                                | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Duke Energy Corp.                                                                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Exxon Mobil                                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. General Electric                                                                                                         | B                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 12/20/12                | K                               |                                |                                                                   |
| 8. Hewlett Packard                                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/3/12                 | J                               |                                |                                                                   |
| 9. Medtronic                                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 5/8/12                  | J                               |                                |                                                                   |
| 10. Microsoft                                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Spectra Energy Corp.                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Stryker Corp.                                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Teva Pharmaceuticals                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. McDonalds                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 8/15/12                 | J                               |                                |                                                                   |
| 15. United Health Care                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 2/3/12                  | J                               |                                |                                                                   |
| 16. Alliance Bernstein Capital                                                                                              | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Fidelity NY Muni Fund                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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 |                         |
| 3. Value Method Codes   | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| (See Column C2)         | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
|                         | 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                  |   |          |   |   |                |         |   |  |  |
|----------------------------------|---|----------|---|---|----------------|---------|---|--|--|
| 18. Norbelle LLC                 |   | None     | K | U |                |         |   |  |  |
| 19. New Entrepreneur Fund        | D | Dividend | L | T |                |         |   |  |  |
| 20. Rollover IRA #1              | D | Dividend | N | T |                |         |   |  |  |
| 21. - Fidelity Low Priced Stock  |   |          |   |   | Sold           | 2/2/12  | J |  |  |
| 22. - Baron Growth               |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |
| 23. - Baron Growth               |   |          |   |   | Sold<br>(part) | 9/27/12 | K |  |  |
| 24. - William Blair Int'l Growth |   |          |   |   | Sold           | 2/2/12  | J |  |  |
| 25. - American Growth            |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |
| 26. - American Growth            |   |          |   |   | Sold<br>(part) | 5/2/12  | K |  |  |
| 27. - Columbia Acorn Class Z     |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |
| 28. - Columbia Acorn Class Z     |   |          |   |   | Sold<br>(part) | 9/27/12 | K |  |  |
| 29. - Dodge & Cox Stock          |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |
| 30. - Harbor International       |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |
| 31. - Royce Premier              |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |
| 32. - Royce Premier              |   |          |   |   | Sold<br>(part) | 9/27/12 | K |  |  |
| 33. - Fidelity Cash Reserves     |   |          |   |   |                |         |   |  |  |
| 34. - Spartan 500 Index          |   |          |   |   | Sold<br>(part) | 2/2/12  | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. - Columbia Acorn Int'l Class Z                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 2/2/12                  | J                               |                                |                                                                   |
| 36. - Allianz Agic High Yield                                                                                               |                                         |                                               |                                                 |                                           | Buy                                             | 5/3/12                  | L                               |                                |                                                                   |
| 37. - Allianz Agic High Yield                                                                                               |                                         |                                               |                                                 |                                           | Buy                                             | 9/27/12                 | L                               |                                |                                                                   |
| 38. Rollover IRA #2                                                                                                         | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. - Honeywell Int'l Bond                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. - Walt Disney Bond                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 41. - Bottling Group LLC Bond                                                                                               |                                         |                                               |                                                 |                                           | Sold                                            | 2/6/12                  | K                               | C                              |                                                                   |
| 42. - Oracle Bond                                                                                                           |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 2/6/12                  | K                               | C                              |                                                                   |
| 43. - Kimberly Clark Bond                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 44. - Federal Farm Cr. Bks Bond                                                                                             |                                         |                                               |                                                 |                                           | Redeemed                                        | 4/26/12                 | K                               |                                |                                                                   |
| 45. - TVA Bond                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. - Fidelity Cash Reserves                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 47. - IBM Bond                                                                                                              |                                         |                                               |                                                 |                                           | Redeemed                                        | 11/29/12                | K                               |                                |                                                                   |
| 48. - Anheuser Busch Bond                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. - Walgreen's                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 50. - Merck & Co.                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 51. - Federal Farm                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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| 52. - Federal Home Loan                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 53. - Pfizer & Co.                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 54. - Verizon Communications                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. - SBC                                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 56. - McDonald's                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 57. - Con Edison                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 58. - General Dynamics                                                                                                      |                                         |                                               |                                                 |                                           | Redeemed                                        | 12/7/12                 | K                               |                                |                                                                   |
| 59. - Wal-Mart                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 60. - Phillip Morris                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. - Shell International                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 62. - Total Capital SA                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 63. - Hewlett Packard                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 10/25/12                | K                               |                                |                                                                   |
| 64. -Federal Home Loan Bank Cons. Bond                                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 4/24/12                 | L                               |                                |                                                                   |
| 65. - General Electric                                                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 10/11/12                | K                               |                                |                                                                   |
| 66. - Praxair                                                                                                               |                                         |                                               |                                                 |                                           | Buy                                             | 10/29/12                | K                               |                                |                                                                   |
| 67. - General Dynamics                                                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 12/20/12                | K                               |                                |                                                                   |
| 68. Verizon Income Deferral Plan                                                                                            | E                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Date of Report

05/06/2013

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

In 2012, I continued to receive payments from my Verizon Income Deferral Plan (10/2012). The total payment is shown in III-A, supra.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Crotty, Paul A.

Date of Report

05/06/2013

## 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/ Paul A. Crotty**

**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  
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One Columbus Circle, N.E.  
Washington, D.C. 20544