

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) Sharpe, Gary L.	2. Court or Organization U.S. District Court, NDNY	3. Date of Report 08/05/2013
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 01/01/2012 to 12/31/2012
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. 2012

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.)*

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

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35. -Coca-Cola Co Common ("KO")					Buy	08/10/12	J		
36.					Sold	12/04/12	J	A	
37. -Facebook Inc Common ("FB")					Buy	09/12/12	J		
38.					Sold (part)	12/28/12	J	A	
39. -Medivation Inc Common ("MDVN")					Buy	10/03/12	J		
40.					Sold	11/28/12	J	A	
41. -Costco Wholesale Corp Common ("COST")					Buy	12/04/12	J		
42.					Sold (part)	12/28/12	J	A	
43. -Cornerstone Progressive Return ("CFP")					Buy	06/14/12	J		
44.					Sold (part)	08/27/12	J	A	
45.					Sold	09/25/12	J	A	
46. -Spdr Gold Tr Gold shs ("GLD")					Buy	06/14/12	K		
47.					Sold (part)	06/29/12	J	A	
48.					Sold (part)	08/10/12	J	A	
49.					Sold (part)	08/27/12	J	A	
50.					Sold (part)	10/24/12	J	A	
51.					Sold	11/28/12	J	A	

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52. -Oppenheimer Gold & Spl Min A ("OPGSX")					Buy	06/14/12	J		
53.					Sold	08/01/12	J	A	
54. -United States Gasoline Fund LP ("UGA")					Buy	06/14/12	J		
55.					Sold	06/18/12	J	A	
56. Edward Jones IRA #2	A	Dividend	J	T	Open	06/14/12	J		
57. -Direxion Shares Etf Tr Small Cap Bull 3X ("TNA")					Buy	06/14/12	J		
58. -Embraer SA Common ("ERJ")					Buy	08/22/12	J		
59. -Amazon Common ("AMZN")					Sold (part)	01/26/12	K		
60.					Sold (part)	02/24/12	J		
61.					Sold	03/26/12	K		
62. -Zynga Inc Common ("ZNGA")					Sold	03/27/12	J		

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

Part VII. Investments and Trusts, Lines 26, 59-61, and 62.

For clarity, Line 26 is amended to reflect that the Edward Jones IRA # 1 was "formerly known as Excel Securities IRA # 2" on the 2011 annual report.

In response to a letter of inquiry: Lines 59-61 were added to reflect a total disposition of Amazon in 2012; and, Line 62 was added to reflect a total disposition of Zynga.

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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
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Washington, D.C. 20544