

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Crotty, Paul A.	2. Court or Organization U.S. District Court (S.D.N.Y.)	3. Date of Report 07/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior - Effective 8/1/2015)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 500 Pearl Street Room 1350 New York, New York 10007		
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. 2016

(Spouse) 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.)*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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. AMEX	B	Dividend	K	T	Sold (part)	10/05/16	K	C	
2. Ameriprise Fin'l Inc.	A	Dividend	K	T	Sold (part)	04/20/16	J	C	
3. Apple Inc.	A	Dividend	J	T					
4. Coca Cola	C	Dividend	L	T					
5. Duke Energy Corp.	A	Dividend	K	T	Sold (part)	04/20/16	J	B	
6. Exxon Mobil	B	Dividend	L	T	Sold (part)	10/05/16	K	D	
7. General Electric	A	Dividend	J	T					
8. Spectra Energy Corp.	A	Dividend	K	T	Sold (part)	10/05/16	J	C	
9. Stryker Corp.	A	Dividend	K	T	Sold (part)	04/02/16	J	C	
10. Teva Pharmaceuticals	A	Dividend	J	T	Sold (part)	11/03/16	J	A	
11. United Health Care	A	Dividend	K	T					
12. Alliance Bernstein Capital	A	Interest			Sold	04/20/16	L	A	
13. Fidelity NY Muni Fund	A	Dividend			Sold	04/20/16	J	A	
14. Norbelle LLC		None	K	U					
15. New Entrepreneur Fund	D	Dividend			Closed	01/01/16	J	A	
16. Accelerate Diagnostics		None	K	T	Buy	02/04/16	J		
17. Dreyfus Institutional Treasury	A	Dividend	K	T	Buy	03/04/16	K		

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

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18. Bristol-Myers Squibb	A	Dividend	J	T	Buy	03/14/16	J		
19. Ford Motor	A	Dividend	J	T	Buy	03/04/16	J		
20. Lockheed Martin	A	Dividend	J	T	Buy	03/04/16	J		
21. Pfizer	A	Dividend	J	T	Buy	10/05/16	J		
22. Alphabet Inc. Class 1		None	K	T	Buy	10/05/16	J		
23. Union Pacific Corp.	A	Dividend	J	T	Buy	10/05/16	J		
24. Consolidated IRA (H)									
25. - Artisan Int'l		None			Sold	03/04/16	J		
26. - Fidelity Low Priced Stock		None			Sold	03/04/16	J		
27. - Baron Growth		None			Sold	03/04/16	J		
28. - Columbia Acorn Class Z		None			Sold	03/04/16	J		
29. - Columbia Acorn International Class Z		None			Sold	03/04/16	J		
30. - Dodge & Cox Stock		None			Sold	03/04/16	J		
31. - Harbor International		None			Sold	03/04/16	J		
32. - Fidelity Cash Reserves		None			Sold	03/04/16	J		
33. - Spartan 500 Index		None			Sold	03/04/16	J		
34. - Oppenheimer Int'l Growth		None			Sold	03/04/16	J		

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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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35. - Allianz Agic High Yield		None			Sold	03/04/16	J		
36. - AMG Yacktmann		None			Sold	03/04/16	J		
37. - AMG Yacktmann		None			Sold	03/04/16	J		
38. - AQR Managed		None			Sold	03/04/16	J		
39. - AQR Managed		None			Sold	03/04/16	J		
40. - Arbitrage Fund		None			Sold	03/04/16	J		
41. - Arbitrage Fund		None			Sold	03/04/16	J		
42. - Calamos Market Neutral		None			Sold	03/04/16	J		
43. - Calamos Market Neutral		None			Sold	03/04/16	J		
44. - Columbia Acorn Select A		None			Sold	03/04/16	J		
45. - Columbia Acorn Select A		None			Sold	03/04/16	J		
46. - Driehaus Active		None			Sold	03/04/16	J		
47. - Driehaus Active		None			Sold	03/04/16	J		
48. - Forward Tactical Growth		None			Sold	03/04/16	J		
49. - Forward Tactical Growth		None			Sold	03/04/16	J		
50. - John Hancock Global		None			Sold	03/04/16	J		
51. - John Hancock Global		None			Sold	03/04/16	J		

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52. - Loomis Sayles Bond Retail		None			Sold	03/04/16	J		
53. - Loomis Sayles Bond Retail		None			Sold	03/04/16	J		
54. - Mainstay High Yield		None			Sold	03/04/16	J		
55. - Mainstay High Yield		None			Sold	03/04/16	J		
56. - Mainstay Marketfield		None			Sold	03/04/16	J		
57. - Mainstay Marketfield		None			Sold	03/04/16	J		
58. - Akre Focus		None			Sold	03/04/16	J		
59. - Akre Focus		None			Sold	03/04/16	J		
60. - Putnam Capital		None			Sold	03/04/16	J		
61. - Putnam Capital		None			Sold	03/04/16	J		
62. - Wasatch Long/Short		None			Sold	03/04/16	J		
63. - Wasatch Long/Short		None			Sold	03/04/16	J		
64. - Whitebox Tactical		None			Sold	03/04/16	J		
65. - Whitebox Tactical		None			Sold	03/04/16	J		
66. - AMG Times Square		None			Sold	03/04/16	J		
67. - Adirondack Small Cap		None			Sold	03/04/16	J		
68. - Edgewood Growth		None			Sold	03/04/16	K		

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69. - Columbia Acorn International		None			Sold	03/04/16	J		
70. - G.S. Mid Cap		None			Sold	03/04/16	J		
71. - G.S. Large Cap		None			Sold	03/04/16	K		
72. - Sound Shore		None			Sold	03/04/16	K		
73. - 1 Shares Core S&P 500 ETF		None			Sold	03/04/16	K		
74. - 1 Shares Core S&P Mid-Cap ETF		None			Sold	03/04/16	J		
75. - 1 Shares Core S&P Small-Cap ETF		None			Sold	03/04/16	J		
76. - 1 Shares MSCI Pacific Ex Japan		None			Sold	03/04/16	J		
77. - 1 Shares MSCI Japan ETF		None			Sold	03/04/16	J		
78. - 1 Shares MSCI S. Korea		None			Sold	03/04/16	J		
79. - 1 Shares S&P Midcap 400		None			Sold	03/04/16	J		
80. - 1 Shares S&P 500 Growth ETF		None			Sold	03/04/16	J		
81. - SPDR Ser Tr S&P Bank ETF		None			Sold	03/04/16	J		
82. - Vanguard International Equity		None			Sold	03/04/16	J		
83. - Wisdom Tree Trust Emerging		None			Sold	03/04/16	J		
84. - Wisdom Tree Trust Europe Hedged		None			Sold	03/04/16	J		
85. - Wisdom Tree Trust Japan		None			Sold	03/04/16	J		

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86. - Alphabet Inc. Class C		None	K	T	Buy	04/21/16	K		
87. - Amazon		None	K	T	Buy	04/19/16	K		
88. - American Water Works	A	Dividend	K	T	Buy	04/21/16	K		
89. - Apache Corp.	A	Dividend	K	T	Buy	04/21/16	K		
90. - Apple Inc.	A	Dividend	K	T	Buy	04/19/16	K		
91. - Barrick Gold Corp.	A	Dividend	J	T	Buy	04/19/16	J		
92. - Bristol-Myers Squibb	A	Dividend	J	T	Buy	04/19/16	J		
93. - Caterpillar	A	Dividend	K	T	Buy	04/19/16	K		
94. - Chubb Ltd.	A	Dividend	J	T	Buy	04/21/16	J		
95. - Comcast	A	Dividend	K	T	Buy	04/21/16	K		
96. - Costco	A	Dividend	K	T	Buy	04/21/16	K		
97. - Disney Walt	A	Dividend	K	T	Buy	04/19/16	K		
98. - Ecolab	A	Dividend	K	T	Buy	04/19/16	K		
99. - Exxon Mobil	A	Dividend	K	T	Buy	04/19/16	K		
100. - Facebook		None	K	T	Buy	04/19/16	K		
101. - Ford Motor	A	Dividend	J	T	Buy	04/21/16	J		
102. - Henry Schein		None	J	T	Buy	04/21/16	J		

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103. - Home Depot	A	Dividend	J	T	Buy	04/19/16	J		
104. - Honeywell	A	Dividend	K	T	Buy	04/21/16	K		
105. - Lockheed Martin	A	Dividend	K	T	Buy	04/19/16	K		
106. - Medtronic		None	J	T	Buy	04/21/16	J		
107. - Monsanto	A	Dividend	K	T	Buy	04/19/16	J		
108. - Nucor	A	Dividend	J	T	Buy	07/14/16	J		
109. - Palo Alto Networks		None	J	T	Buy	04/19/16	J		
110. - Pfizer		None	K	T	Buy	04/19/16	K		
111. - Pioneer Natural Resources	A	Dividend	K	T	Buy	04/19/16	K		
112. - Raytheon	A	Dividend	K	T	Buy	04/19/16	K		
113. - Sherwin Williams	A	Dividend	J	T	Buy	04/19/16	J		
114. - Southwest Airlines	A	Dividend	J	T	Buy	04/19/16	J		
115. - Stryker	A	Dividend	K	T	Buy	07/15/16	K		
116. - Union Pacific	A	Dividend	J	T	Buy	04/19/16	J		
117. - U.S. Bankcorp	A	Dividend	K	T	Buy	04/19/16	J		
118. - Visa Inc.	A	Dividend	K	T	Buy	04/19/16	K		
119. - Waste Management	A	Dividend	K	T	Buy	04/21/16	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
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)
120. - Weyerhaeuser Reit	A	Dividend	K	T	Buy	04/19/16	K		
121. - Honeywell Int'l Bond	A	Interest	K	T					
122. - Walt Disney Bond	B	Interest	K	T					
123. - Oracle Bond	B	Interest	K	T					
124. - Kimberly Clark Bond	B	Interest	K	T					
125. - Pepsico Bond	A	Interest	K	T					
126. - Apple Inc. Bond	A	Interest	K	T					
127. - Fidelity Cash Reserves	A	Interest			Redeemed	04/19/16	J		
128. - Anheuser Busch Bond	A	Interest			Redeemed	12/03/16	K		
129. - Federal Farm Bond	A	Interest			Redeemed	12/03/16	K		
130. - Federal Home Loan Bond	B	Interest	K	T					
131. - Pfizer & Co. Bond	A	Interest			Redeemed	12/16/16	K		
132. - Medtronic Bond	B	Interest	K	T					
133. - SBC Bond	A	Interest			Redeemed	12/16/16	K		
134. - McDonald's Bond	B	Interest	K	T					
135. - Con Edison Bond	B	Interest	K	T					
136. - Wal-Mart Bond	C	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 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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Name of Person Reporting

Crotty, Paul A.

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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. - Phillip Morris Bond	B	Interest	K	T					
138. - Total Capital SA Bond	B	Interest	K	T					
139. - General Electric Bond	B	Interest	K	T					
140. - Praxair Bond	A	Interest	K	T					
141. - General Dynamics Bond	B	Interest	K	T					
142. - Comcast Bond	B	Interest	K	T					
143. - U.S. Treasury Notes	A	Interest	K	T					
144. - TVA Bond	A	Interest	K	T					
145. - Novartis Bond	A	Interest	K	T					
146. - Cisco Bond	B	Interest	K	T					
147. - Dreyfus Financial	A	Dividend	J	T	Buy	04/06/16	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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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Two (2) IRA's consolidated into one (1) IRA.

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Crotty, Paul A.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544