

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/23/2019
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 01/01/2018 to 12/31/2018
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. 2018

(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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Name of Person Reporting

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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	A	Dividend	L	T	Sold (part)	01/23/18	J	B	
2. Ameriprise Fin'l Inc.	A	Dividend	K	T					
3. Apple Inc.	A	Dividend	K	T					
4. Coca Cola	B	Dividend	L	T					
5. Duke Energy Corp.	A	Dividend	K	T					
6. Exxon Mobil	A	Dividend	K	T	Sold (part)	01/18/18	J	C	
7. General Electric	A	Dividend	J	T					
8. Spectra Energy Corp.	A	Dividend	K	T					
9. Stryker Corp.	A	Dividend	L	T	Sold (part)	02/05/18	K	E	
10. Teva Pharmaceuticals	A	Dividend	J	T					
11. United Health Care	A	Dividend	L	T					
12. Norbelle LLC		None	K	U					
13. Accelerate Diagnostics		None	K	T					
14. Dreyfus Institutional Treasury	A	Dividend	L	T					
15. Bristol-Myers Squibb	A	Dividend	J	T					
16. Ford Motor	A	Dividend	J	T					
17. Lockheed Martin	A	Dividend			Sold	01/22/18	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 = \$250,000,001 - \$500,000,000	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 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. Pfizer	A	Dividend			Sold	02/06/18	J	A	
19. Alphabet Inc. Class I		None	J	T					
20. Union Pacific Corp.	A	Dividend			Sold	01/25/18	K	C	
21. Consolidated IRA (H)									
22. - Abbott Laboratories	A	Dividend	J	T					
23. - Adobe		Dividend	J	T	Buy	01/24/18	J		
24. - Alphabet Inc. Class C		None	J	T					
25. - Amazon		None	K	T					
26. - American Water Works	A	Dividend			Sold	03/05/18	K		
27. - Apple Inc.	A	Dividend			Sold	11/19/18	K		
28. - AT&T	A	Dividend			Sold	05/10/18	J		
29. - Becton Dickinson	A	Dividend	J	T	Buy	01/24/18	K		
30. - Berkshire Hathaway	A	Dividend	J	T	Buy	11/06/18	J		
31. - BNSF	A	Interest	K		Buy	11/17/18	K		
32. - Boeing	A	Dividend	K	T					
33. - Caterpillar	A	Dividend	K	T					
34. - J.P. Morgan Chase		Dividend	J	T	Buy	11/06/18	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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☐ NONE (No reportable income, assets, or transactions.)

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35. - Cheniere Energy		Dividend	J	T	Buy	09/26/18	J		
36. - Chubb Ltd.	A	Dividend			Sold	10/16/18	K		
37. - Cisco Systems		Dividend	J	T	Buy	12/20/18	J		
38. - Comcast	A	Dividend			Sold	02/05/18	K		
39. - Conoco Phillips	A	Dividend	J	T					
40. - Constellation Brands	A	Dividend			Sold	12/17/18	J		
41. - Continental Resources		Dividend	J	T					
42. - Costco	A	Dividend	K	T					
43. - Covidien International Finance	A	Interest	K		Buy	04/15/18	K		
44. - Devon Energy	A	Dividend			Sold	11/20/18	J		
45. - Disney Walt	A	Dividend	K	T					
46. - Ecolab	A	Dividend			Sold	10/16/18	K		
47. - Edwards Lifesciences		Dividend	J	T	Buy	09/26/18	J		
48. - Exxon Mobil	A								
49. - Facebook		None	J	T	Sold (part)	10/08/18	J		
50. - General Dynamics	A	Dividend			Sold	04/27/18	K		
51. - Home Depot	A	Dividend	K	T					

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52. - Honeywell	A	Dividend	K	T					
53. - International Paper	A	Dividend			Sold	08/01/18	K		
54. - Eli Lilly		Dividend	J	T					
55. - Lockheed Martin	A	Dividend			Sold	01/22/18	K		
56. - McDonalds	A	Dividend	K	T					
57. - Medtronics	A	Dividend	J	T					
58. - Microsoft	A	Dividend	K	T					
59. - Nucor	A	Dividend			Sold	05/18/18	K		
60. - Pfizer	A	Dividend			Sold	02/06/18	K		
61. - Phillips 66	A	Dividend	J	T					
62. - Pioneer Natural Resources	A	Dividend	K	T					
63. - Raytheon	A	Dividend	K	T					
64. - Sherwin Williams	A	Dividend	J	T					
65. - Stryker	A	Dividend	K	T	Buy (add'l)	09/11/18	K		
66. - Suntrust	A	Dividend	J	T	Sold (part)	12/17/18	J		
67. - Union Pacific	A	Dividend			Sold	01/25/18	K		
68. - United Health	A	Dividend	J	T	Buy	11/22/18	J		

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69. - U.S. Bankcorp	A	Dividend	J	T					
70. - Visa Inc.	A	Dividend	K	T					
71. - Vulcan Materials	A	Dividend	J	T	Sold (part)	12/05/18	K		
72. - Waste Management	A	Dividend	K	T					
73. - Weyerhaeuser Reit	A	Dividend			Sold	08/02/18	K		
74. - Zoetis	A	Dividend	J	T	Buy	11/06/18	J		
75. - Honeywell Int'l Bond	A	Interest	K	T					
76. - Oracle Bond					Redeemed	11/15/18	K		
77. - Pepsico Bond	B	Interest	K	T					
78. - Apple Inc. Bond	A	Interest	K	T					
79. - Federal Home Loan Bond	B	Interest	K	T					
80. - Medtronic Bond	B	Interest	K	T					
81. - McDonald's Bond					Redeemed	09/01/18	K		
82. - Con Edison Bond	B	Interest	K	T					
83. - Phillip Morris Bond	B	Interest	K	T					
84. - Total Capital SA Bond	B	Interest	K	T					
85. - General Electric Bond	B	Interest			Redeemed	11/08/18	K		

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86. - Praxair Bond	A	Interest	K	T					
87. - General Dynamics Bond	B	Interest	K	T					
88. - Comcast Bond	B	Interest	K	T					
89. - U.S. Treasury Notes	A	Interest	K	T					
90. - TVA Bond	A	Interest	K	T					
91. - Novartis Bond	A	Interest	K	T					
92. - Cisco Bond	B	Interest	K	T					
93. - Dreyfus Financial	A	Dividend	J	T					
94. - Chevron	A	Interest			Sold	11/16/18	K		
95. - John Deere	A	Interest	K	T					

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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/ 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