AO 10
Rev. 1/2019

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)	2. Court or Organization	3. Date of Report
Scullin, Frederick J.	US District Court (NDNY)	04/30/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US District Judge-Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2018 **to** 12/31/2018
7. Chambers or Office Address		
po Box 7255 100 S. Clinton Street Syracuse, NY 13261		

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.	2018	NYS & Local employees Retirement System-Lifetime
2.		
3.		

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/30/2019

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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.	2018	NYS & Local Employees Retirement System-Lifetime	$7,458.12
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.)*

	DATE	SOURCE AND TYPE
1.		
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.	MassMutual	policy loan	K
2.	MassMutual	policy loan	J
3.	MassMutual	policy loan	J
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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT #1 (H)									
2. Key Bank-cash, money markets, FDIC deposits	A	Int./Div.	J	T					
3. Blackrock Global Allocation Fund	A	Dividend	J	T					
4. Lord Abbett Fundamental Equity Fund Class A	D	Dividend	K	T					
5. DWS NY Tax Free Income Fund Class C	A	Dividend	J	T					
6. Ishares Gold Tr Ishares	A	Dividend	K	T	Sold (part)	12/31/18	J	A	
7. BROKERAGE ACCOUNT #2 (IRA) (H)									
8. Key Bank- cash, money markets, FDIC deposits	A	Int./Div.	J	T					
9. The Merger Fund	A	Dividend	J	T					
10. Pimco All Asset All Authority Fund	A	Dividend	J	T					
11. Pimco Income Fund Class A	A	Dividend	J	T	Sold (part)	10/18/18	J		
12. Invesco Exchange Traded FD	A	Dividend	J	T					
13. BROKERAGE ACCOUNT #3 (IRA) (H)									
14. Key Bank-cash, money markets, FDIC deposits	A	Dividend	J	T					
15. The Merger Fund	A	Dividend	J	T					
16. Pimco All Asset All Authority Fund	A	Dividend	J	T					
17. Pimco Income Fund Class A	A	Dividend	J	T					

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

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/30/2019

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. Invesco Exchange Traded FD	A	Dividend	J	T					
19. BROKERAGE ACCOUNT #4 (H)									
20. Key Bank-cash, money markets, FDIC deposits	A	Int./Div.	J	T					
21. Russell Global Equity Fund Class S	A	Dividend	J	T	Sold (part)	01/26/18	J	A	
22.					Sold (part)	06/21/18	J	A	
23. Russell US Strategic Equity Fund	A	Dividend	J	T	Sold (part)	06/21/18	J	A	
24.					Buy (add'l)	01/26/18	J		
25. Russell Multi Strategy Income Fund	A	Dividend			Sold	06/21/18	J	A	
26. Russell Emerging Markets Fund	A	Dividend	J	T	Sold (part)	01/26/18	J	A	
27.					Sold (part)	06/21/18	J	A	
28. Russell Global Real Estate Securities Fund	A	Dividend	J	T	Buy (add'l)	06/21/18	J		
29. Russell Global Opportunistic Credit Fund	A	Dividend	J	T	Sold (part)	06/21/18	J	A	
30.					Buy (add'l)	01/26/18	J		
31. Russell Global Infrastructure Fund	A	Dividend			Sold	06/21/18	J	A	
32. Russell Commodity Strategies Fund	A	Dividend	J	T	Buy (add'l)	01/26/18	J		
33. Russell Strategic Bond Fund	A	Dividend	J	T	Buy (add'l)	01/26/18	J		
34.					Sold (part)	06/21/18	J	A	

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35. Russell International Developed Markets Fund	A	Dividend	J	T	Sold (part)	01/26/18	J	A	
36.					Buy (add'l)	06/21/18	J		
37. Russell US Small Cap Equity Fund	A	Dividend	J	T	Sold (part)	06/21/18	J	A	
38. Russell Multi Asset Growth Strategy Fund	A	Dividend	J	T	Buy (add'l)	01/26/18	J		
39.					Buy (add'l)	06/21/18	J		
40. Russell Unconstrained Total return Fund	A	Dividend	J	T	Sold (part)	06/21/18	J	A	
41.					Buy (add'l)	01/26/18	J		
42. BANK A/C #5 (H)									
43. Key Bank-cash, savings	A	Interest	J	T					
44. INSURANCE POLICIES (H)									
45. Massachusetts Mutual- Whole life	C	Dividend	L	V					
46. Massachusetts Mutual-Whole life	B	Dividend	K	V					
47. Massachusetts Mutual -Whole life	A	Dividend	J	V					

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Scullin, Frederick J.	04/30/2019

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

Section VII-lines 45-47, value method V--cash surrender values pursuant to insurance company statement.

Section VI, line 3 and Section VII, line 47 relate to an insurance policy owned by [redacted] and inadvertently omitted in prior year reports.

Section VII, line 43 relates to a bank account in the name of a dependent and inadvertently omitted in prior year reports.

Name of Person Reporting	Date 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/ Frederick J. Scullin**

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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Washington, D.C. 20544