

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) McCurn, Neal P.	2. Court or Organization U.S. District Court N.D.N.Y.	3. Date of Report 07/27/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address P.O. Box 7365 100 S Clinton Street Syracuse, NY 13261	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2010	N.Y. State Employees Retirement System	\$2,824.00
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. 2010	Catholic Relief Services Annuity \$847
2. 2010	Catholic Church Ext. Society \$722
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. 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. Brokerage A/Cs Sts Bds Wells Fargo									
2. AT&T	B	Dividend	K	T					
3. Amer Electric Power	B	Dividend	K	T					
4. Heinz HJ	A	Dividend	J	T					
5. Intl Business Machines	A	Dividend	K	T					
6. ValeroEnergy Corp	A	Dividend	J	T					
7. Verizon Comm	A	Dividend	K	T					
8. YUM Brands	A	Dividend	K	T					
9. Biotech Holders Tr	A	Dividend	K	T					
10. Fairport Communications (Y)									
11. Long Island 0% 12/1/11		None			Sold	01/20/10	K	B	market
12. Long Island 0% 6/1/15		None			Sold	01/20/10	K	B	market
13. Coming	A	Dividend	K	T					
14. Coming	A	Dividend	K	T					
15. Franklin Temp Mut Disc	B	Dividend	M	T					
16. NYS Dorm 3.5% 7/1/16	A	Interest	J	T					
17. NYS Dorm 3.25% 7/1/14	A	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
18. NYS Dorm 5% 3/15/13	B	Interest	K	T					
19. FL St PWR 4% 10/1/15	B	Interest	L	T					
20. NYC WTR 4.75% 6/15/33	B	Interest	K	T					
21. NYC WTR 5% 6/15/34	A	Interest	K	T					
22. Southampton 4%12/15/25	A	Interest	J	T					
23. Lake Success NY 3%1/15/15	C	Interest	M	T					
24. Campbell Strategic	A	Interest	M	T					
25. Agilent Tech Inc (Y)									
26. Stryker Corp	A	Dividend	K	T					
27. Port Auth NY 4.25% 10/15/30	B	Interest	L	T	Buy	01/22/10	L		market
28. NYC 4.50% 6/15/34	A	Interest	K	T	Buy	08/31/10	K		market
29. Amer Fds Cap Wrld G&I	A	Dividend	J	T					
30. EOG Resources	A	Dividend	K	T					
31. First Busey Corp (Y)									
32. Hewlett Packard	A	Dividend	K	T					
33. Johnson & Johnson	A	Distribution	K	T					
34. Eli Lilly	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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				
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35. Pfizer	A	Distribution	J	T					
36. Vodafone Group	A	Dividend	J	T					
37. Xerox	A	Dividend	J	T					
38. NYS Envrmnt 4% 6/15/14	A	Interest	K	T					
39. MTA NY Trans 7/1/13		None			Sold	01/20/10	K	B	market
40. NYS LOC Gvt 4/1/13		None			Sold	01/20/10	J	A	market
41. NYS Gvt 4/1/14		None			Sold	01/20/10	K	C	market
42. Mass WTR 2% 8/1/11	A	Interest	L	T					
43. Norwalk CT 2% 7/1/12	A	Interest	K	T					
44. NYS Dorm 4% 12/15/16	A	Interest	K	T					
45. NY S Envrm 4.625% 6/15/33	A	Interest	J	T					
46. Sentinel Cap Mrks	B	Dividend	L	T					
47. Finl Sector SPDR	A	Dividend	J	T					
48. Intuitive Surgical Inc		None	K	T					
49. NY TWY 3.125% 3/15/25		None	K	T	Buy	09/20/10	K		market
50. Port Auth 4% 9/15/30	C	Interest	L	T	Buy	01/22/10	L		market
51. FNMA 4.5% 9/24/24	A	Interest			Redeemed	09/24/10	J		market

1. Income Gain Codes:
(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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3. Value Method Codes
(See Column C2)

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P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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52. IRA Acct (Wells Fargo)Stks & Bnds listed below:									
53. Boston Scientific (Y)									
54. Eli Lilly	A	Dividend	J	T					
55. Halliburton Co	A	Dividend	K	T					
56. Medco Health (Y)									
57. Pfizer	B	Dividend	K	T					
58. Simon Property Grp	A	Dividend	K	T					
59. UDR Inc	A	Dividend	K	T					
60. Amer Express CD 12/30/11	B	Interest	K	T					
61. Franklin T Mutual Disc	A	Dividend	K	T					
62. Amer Fds-New Economy	A	Dividend	K	T					
63. Individual Accounts held listed as follows:									
64. US Savings Bonds		None	K	T					
65. Dreyfus Emerging Leaders	A	Dividend	L	T					
66. Dreyfus MidCap Value	A	Dividend	L	T	Buy (add'l)	04/12/10	J		market
67. Dreyfus MidCap Value		None			Buy (add'l)	06/22/10	J		market
68. Dreyfus Appreciation	A	Dividend	K	T	Buy (add'l)	03/10/10	J		market

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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H2 = More than \$5,000,000

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Dreyfus NY Tax Exempt	A	Dividend	K	T					
70. Dreyfus Stock Fund	A	Dividend	K	T					
71. Dreyfus Short Int Muni	A	Interest	K	T					
72. Summit/Syracuse Police Fed Credit Union CDs & Base A/C	A	Interest	K	T					
73. M&T Bank Syracuse Checking A/C	A	Interest	K	T					
74. Metlife Bank & Money Mrk A/C	A	Interest	J	T					

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(See Columns B1 and D4)

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3. Value Method Codes
(See Column C2)

Q = Appraisal
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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/ Neal P. McCurn

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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