

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2005

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

SELF-INITIATED
AMENDMENT

1. Person Reporting (last name, first, middle initial) PAULEY III, WILLIAM H	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/12/2006
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE (active)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2005 to 12/31/2005
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NEW YORK 10007-1581	5b. ☒ Amended Report	
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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member of Board of Visitors	Duke University School of Law
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1998	Continuation of payments agreement with former law partner, Franklyn H. Snitow, and his law firm, Snitow Kanfer Holtzer & Millus, LLP.
2.	
3.	

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FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/12/2006

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 2005	Snitow & Pauley, a former law partnership winding-down its affairs (continuation of payments agreement described in Part II, line 1)	\$ 43,130
2.		
3.		
4.		
5.		

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. 2005	Self-Employed Licensed Real Estate Sales Person
2. 2005	Self-Employed Floral Designer
3.	
4.	
5.	

IV. REIMBURSEMENTS — *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Duke University School of Law	April 15-16 and October 7-8, 2005. Law School Board of Visitors Meetings. (travel, food and lodging)
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT
Page 3 of 10

Name of Person Reporting
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Date of Report
05/12/2006

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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. 32-34 of instructions.)*

☒ **NONE** *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/12/2006

VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. COMMON STOCKS									
2. EXXON/MOBIL	A	Dividend	J	T					
3. AXA AMERICAN DEPOSITORY SHARES	A	Dividend	J	T					
4. PRUDENTIAL FIN'L SRVS	A	Dividend	J	T					
5. IBM	A	Dividend	J	T					
6.									
7. MUTUAL FUNDS									
8. AIM SM CAP EQUITY FUND CL B (SMEBX)	A	Dividend	K	T					
9. ALGER FD BAL PORTFOLIO (ALGBX)	A	Dividend	K	T					
10. ALLIANCE FOCUSED GROWTH INCOME CL B (ADGBX)	A	Dividend	J	T	Partial Conv	12/19	J		
11. ALLIANCE FOCUSED GROWTH INCOME CL A (ADGAX)	A	Dividend	J	T	Conversion	12/19	J		
12. DAVIS NY VENTURE FUND CL B (NYVBX)	A	Dividend	K	T					
13. DRYDEN TOTAL RETURN BOND FUND (PDBAX)	A	Dividend	J	T					
14. DRYDEN SPEC MONEY MRKT FUND CL B	A	Dividend			Conversion	3/14	M		
15. MONEYMART ASSETS INC. CL B (PBBXX)	C	Dividend	M	T	Conversion	3/14	M		
16. DRYDEN ACTIVE ALLOCATION FUND CL B (PBFBX)	A	Dividend	K	T	Partial Conv	9/13	K		
17. DRYDEN ACTIVE ALLOCATION FUND CL A (PIBAX)	A	Dividend	K	T	Conversion	9/13	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	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 (See Column C2)	P3 = \$25,000,001 - \$50,000,000 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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. DRYDEN INTL EQTY FD CL B (PJBX)	A	Dividend	K	T					
19. DRYDEN STOCK INDEX FUND CL B (PBSIX)	A	Dividend	K	T	Partial Conv	12/19	K		
20. DRYDEN STOCK INDEX FUND CL A (PSIAX)	B	Dividend	L	T	Conversion	12/19	K		
21. DRYDEN SM CAP CORE EQTY FD CL B (PQVBX)	A	Dividend	K	T					
22. FEDERATED INTERNATIONAL VALUE FUND CL B (FGFBX)	A	Dividend	J	T					
23. GOLDMAN SACHS MID CAP VALUE FUND CL B (GCMXB)	A	Dividend	L	T					
24. J. HANCOCK US GLOBAL LEADERS GROWTH CL B	A	Dividend			Conversion	3/28	J		
25. J. HANCOCK US GLOBAL LEADERS GROWTH CL A (USGLX)	A	Dividend	K	T	Conversion	3/28	J		
26. JENNISON NATURAL RESOURCES FUND CL A (PGNAX)	B	Dividend	L	T					
27. JENNISON FIN SERVS FD CL B (PUFBX)	B	Dividend	L	T					
28. JENNISON FIN SERVS FD CL A (PFSAX)	B	Dividend	K	T					
29. JENNISON EQTY OPP CL A (PJLAX)	A	Dividend	K	T					
30. JENNISON UTILITY FUND CL B (PRUTX)		None	K	T					
31. JENNISON SMALL CO FUND CL B (CHNDX)	A	Dividend	J	T	Partial Conv	12/19	J		
32. JENINSON SMALL CO. FUND CLASS A (PGOAX)	A	Dividend	K	T	Partial Conv	12/19	J		
33. STRATEGIC PARTNERS FOCUSED VALUE FUND CL B (SUVBX)		None			Partial Conv	9/13	J		
34. STRATEGIC PARTNERS FOCUSED VALUE FUND CL A (SUVAX)		None			Partial Conv	9/13	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	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 (See Column C2)	P3 = \$25,000,001 - \$50,000,000 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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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				
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						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. DRYDEN STRATEGIC VALUE FUND CL B (SUVBX)		None	J	T	Name Change	9/13			
36. DRYDEN STRATEGIC VALUE FUND CL A (SUVAX)		None	J	T	Name Change	9/13			
37. PUTNAM HEALTH SCI TRUST CL B (PHSBX)	A	Dividend	K	T					
38. PUTNAM SM CAP VALUE CL A (PSLAX)	A	Dividend	K	T					
39. SELIG LASALLE DIVIDEND REAL ESTATE FUND CL B (SREBX)	A	Dividend	K	T	Partial Conv	12/19	J		
40. SELIG LASALLE DIVIDEND REAL ESTATE FUND CL A (SREAX)	A	Dividend	J	T	Conversion	12/19	J		
41. SELIG INCOME FUND CL B (SIBBX)	A	Dividend	K	T					
42. SELIG SM CAP VALUE FD CL B (SSCBX)	A	Dividend	K	T					
43. SELIG FRONTIER FUND CL B (SLFBX)	A	Dividend	K	T					
44.									
45. ANNUITIES									
46. DISCOVERY PLUS	B	Interest	M	T					
47.									
48. CASH AND CASH EQUIVALENTS									
49. JP MORGAN CHASE	B	Interest	L	T					
50. U. S. TREASURY BILLS	D	Interest	N	T					
51. DREYFUS LIQUID ASSETS INC.	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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PAULEY III, WILLIAM H

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05/12/2006

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. U.S. SAVINGS BONDS	A	Interest	J	T					
53. AXA FIN'L LIFE INS (Cash Surrender Value)	B	Dividend	L	T					
54. AXA FIN'L LIFE INS (Cash Surrender Value)	A	Dividend	K	T					
55. WACHOVIA MONEY MARKET ACCOUNT	B	Interest	K	T	Conversion	9/13	J		
56. EVERGREEN MUNICIPAL MONEY MARKET FUND	A	Interest	J	T	Conversion	9/13	J		
57. NEW YORK STATE COLLEGE TUITION SAVINGS FUND PROGRAM	B	Interest	L	T	Buy	12/29	J		
58. WACHOVIA		None	K	T	Transfer	5/23	K		
59. BB & T BANK CD		None	L	T	Transfer	5/25	L		
60. THIRD FEDERAL S & L CD		None	L	T	Transfer	5/24	L		
61. FIFTH THIRD BANK CD		None	K	T	Transfer	5/23	K		
62.									
63. RETIREMENT ACCOUNTS									
64. 401K PLAN - ING	A	Dividend	K	T					
65. IRA SCUDDER	B	Interest	K	T					
66. ALGER CAPITAL APPRECIATION FD CL B (ACAPX)	A	Dividend	J	T					
67. JENNISON GROWTH CL A (PJFAX)	A	Dividend	J	T					
68. JENNISON GROWTH CL B (PJFBX)	A	Dividend	J	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	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 (See Column C2)	P3 = \$25,000,001 - \$50,000,000 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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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PAULEY III, WILLIAM H

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. JENNISON TECH FUND CL B (PTYBX)	A	Dividend	J	T					
70. DAVIS NY VENTURE FUND CL A (NYVTX)	A	Dividend	J	T					
71. GOLDMAN SACHS TRUST FUND CAP GRWTH PORTFOLIO CL A (GSCGX)	A	Dividend	J	T					
72. JENNISON HLTH SCI FD CL A (PHLAX)	A	Dividend	J	T					
73. JENNISON HLTH SCI FD CL B (PHLBX)	A	Dividend	J	T					
74. STRATEGIC PARTNERS FOCUSED GROWTH FUND CL B (SPFBX)		None			Name Change	3/14			
75. JENNISON SELECT GROWTH FUND CL B (SPFBX)		None	J	T	Name Change	3/14			
76. STRATEGIC PARTNERS NEW ERA GRWTH FD CL B (SNGBX)		None	M	T					
77. SELIG COMM & INFO FD CL A (SLMCX)	A	Dividend	J	T					
78. COMMAND MONEY MKT FDS	A	Interest			Conversion	3/14			
79. WACHOVIA MONEY MARKET FUNDS	A	Interest	K	T	Conversion	3/14			
80. U.S. THRIFT SAVINGS PLAN (GOVT SECURITIES FUND)	D	Interest	M	T					
81. UTS GOV'T SEC EQUITY TRUST	A	Dividend	J	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	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 (See Column C2)	P3 = \$25,000,001 - \$50,000,000 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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting**PAULEY III, WILLIAM H****Date of Report****05/12/2006****VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of Report.)*

My financial disclosure report dated May 11, 2006 omitted references to bank accounts that I [REDACTED] hold with [REDACTED]. Those accounts are identified in this amended report at lines 58 to 61.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

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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

Date

May 12, 2006

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2005

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) PAULEY III, WILLIAM H	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/11/2006
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE (active)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2005 to 12/31/2005
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NEW YORK 10007-1581	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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member of Board of Visitors	Duke University School of Law
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1998	Continuation of payments agreement with former law partner, Franklyn H. Snitow, and his law firm, Snitow Kanfer Holtzer & Millus, LLP.
2.	
3.	

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FINANCIAL DISCLOSURE REPORT

Page 2 of 10

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 2005	Snitow & Pauley, a former law partnership winding-down its affairs (continuation of payments agreement described in Part II, line 1)	\$ 43,130
2.		
3.		
4.		
5.		

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. 2005	Self-Employed Licensed Real Estate Sales Person
2. 2005	Self-Employed Floral Designer
3.	
4.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Duke University School of Law	April 15-16 and October 7-8, 2005. Law School Board of Visitors Meetings. (travel, food and lodging)
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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. 32-34 of instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. COMMON STOCKS									
2. EXXON/MOBIL	A	Dividend	J	T					
3. AXA AMERICAN DEPOSITORY SHARES	A	Dividend	J	T					
4. PRUDENTIAL FIN'L SRVS	A	Dividend	J	T					
5. IBM	A	Dividend	J	T					
6.									
7. MUTUAL FUNDS									
8. AIM SM CAP EQUITY FUND CL B (SMEBX)	A	Dividend	K	T					
9. ALGER FD BAL PORTFOLIO (ALGBX)	A	Dividend	K	T					
10. ALLIANCE FOCUSED GROWTH INCOME CL B (ADGBX)	A	Dividend	J	T	Partial Conv	12/19	J		
11. ALLIANCE FOCUSED GROWTH INCOME CL A (ADGAX)	A	Dividend	J	T	Conversion	12/19	J		
12. DAVIS NY VENTURE FUND CL B (NYVBX)	A	Dividend	K	T					
13. DRYDEN TOTAL RETURN BOND FUND (PDBAX)	A	Dividend	J	T					
14. DRYDEN SPEC MONEY MRKT FUND CL B	A	Dividend			Conversion	3/14	M		
15. MONEYMART ASSETS INC. CL B (PBBXX)	C	Dividend	M	T	Conversion	3/14	M		
16. DRYDEN ACTIVE ALLOCATION FUND CL B (PBFBX)	A	Dividend	K	T	Partial Conv	9/13	K		
17. DRYDEN ACTIVE ALLOCATION FUND CL A (PIBAX)	A	Dividend	K	T	Conversion	9/13	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	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 (See Column C2)	P3 = \$25,000,001 - \$50,000,000 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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-37 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. div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. DRYDEN INTL EQTY FD CL B (PJR BX)	A	Dividend	K	T					
19. DRYDEN STOCK INDEX FUND CL B (PBSIX)	A	Dividend	K	T	Partial Conv	12/19	K		
20. DRYDEN STOCK INDEX FUND CL A (PSIAX)	B	Dividend	L	T	Conversion	12/19	K		
21. DRYDEN SM CAP CORE EQTY FD CL B (PQVBX)	A	Dividend	K	T					
22. FEDERATED INTERNATIONAL VALUE FUND CL B (FGFBX)	A	Dividend	J	T					
23. GOLDMAN SACHS MID CAP VALUE FUND CL B (GCMBX)	A	Dividend	L	T					
24. J. HANCOCK US GLOBAL LEADERS GROWTH CL B	A	Dividend			Conversion	3/28	J		
25. J. HANCOCK US GLOBAL LEADERS GROWTH CL A (USGLX)	A	Dividend	K	T	Conversion	3/28	J		
26. JENNISON NATURAL RESOURCES FUND CL A (PGNAX)	B	Dividend	L	T					
27. JENNISON FIN SERVS FD CL B (PUFBX)	B	Dividend	L	T					
28. JENNISON FIN SERVS FD CL A (PFSAX)	B	Dividend	K	T					
29. JENNISON EQTY OPP CL A (PJIA X)	A	Dividend	K	T					
30. JENNISON UTILITY FUND CL B (PRUTX)		None	K	T					
31. JENNISON SMALL CO FUND CL B (CHNDX)	A	Dividend	J	T	Partial Conv	12/19	J		
32. JENINSON SMALL CO. FUND CLASS A (PGOAX)	A	Dividend	K	T	Partial Conv	12/19	J		
33. STRATEGIC PARTNERS FOCUSED VALUE FUND CL B (SUVBX)		None			Partial Conv	9/13	J		
34. STRATEGIC PARTNERS FOCUSED VALUE FUND CL A (SUVAX)		None			Partial Conv	9/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	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	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. DRYDEN STRATEGIC VALUE FUND CL B (SUVBX)		None	J	T	Name Change	9/13			
36. DRYDEN STRATEGIC VALUE FUND CL A (SUVAX)		None	J	T	Name Change	9/13			
37. PUTNAM HEALTH SCI TRUST CL B (PHSBX)	A	Dividend	K	T					
38. PUTNAM SM CAP VALUE CL A (PSLAX)	A	Dividend	K	T					
39. SELIG LASALLE DIVIDEND REAL ESTATE FUND CL B (SREBX)	A	Dividend	K	T	Partial Conv	12/19	J		
40. SELIG LASALLE DIVIDEND REAL ESTATE FUND CL A (SREAX)	A	Dividend	J	T	Conversion	12/19	J		
41. SELIG INCOME FUND CL B (SIBBX)	A	Dividend	K	T					
42. SELIG SM CAP VALUE FD CL B (SSCBX)	A	Dividend	K	T					
43. SELIG FRONTIER FUND CL B (SLFBX)	A	Dividend	K	T					
44.									
45. ANNUITIES									
46. DISCOVERY PLUS	B	Interest	M	T					
47.									
48. CASH AND CASH EQUIVALENTS									
49. JP MORGAN CHASE	B	Interest	L	T					
50. U. S. TREASURY BILLS	D	Interest	N	T					
51. DREYFUS LIQUID ASSETS INC.	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. U.S. SAVINGS BONDS	A	Interest	J	T					
53. AXA FIN'L LIFE INS (Cash Surrender Value)	B	Dividend	L	T					
54. AXA FIN'L LIFE INS (Cash Surrender Value)	A	Dividend	K	T					
55. WACHOVIA MONEY MARKET ACCOUNT	B	Interest	K	T	Conversion	9/13	J		
56. EVERGREENMUNICIPAL MONEY MARKET FUND	A	Interest	J	T	Conversion	9/13	J		
57. NEW YORK STATE COLLEGE TUITION SAVINGS FUND PROGRAM	B	Interest	L	T	Buy	12/29	J		
58.									
59. RETIREMENT ACCOUNTS									
60. 401K PLAN - ING	A	Dividend	K	T					
61. IRA SCUDDER	B	Interest	K	T					
62. ALGER CAPITAL APPRECIATION FD CL B (ACAPX)	A	Dividend	J	T					
63. JENNISON GROWTH CL A (PJFAX)	A	Dividend	J	T					
64. JENNISON GROWTH CL B (PJFBX)	A	Dividend	J	T					
65. JENNISON TECH FUND CL B (PTYBX)	A	Dividend	J	T					
66. DAVIS NY VENTURE FUND CL A (NYVTX)	A	Dividend	J	T					
67. GOLDMAN SACHS TRUST FUND CAP GRWTH PORTFOLIO CL A (GSCGX)	A	Dividend	J	T					
68. JENNISON HLTH SCI FD CL A	A	Dividend	J	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	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	T = Cash Market
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
(PHLAX)									
69. JENNISON HLTH SCI FD CL B (PHLBX)	A	Dividend	J	T					
70. STRATEGIC PARTNERS FOCUSED GROWTH FUND CL B (SPFBX)		None			Name Change	3/14			
71. JENNISON SELECT GROWTH FUND CL B (SPFBX)		None	J	T	Name Change	3/14			
72. STRATEGIC PARTNERS NEW ERA GRWTH FD CL B (SNGBX)		None	M	T					
73. SELIG COMM & INFO FD CL A (SLMCX)	A	Dividend	J	T					
74. COMMAND MONEY MKT FDS	A	Interest			Conversion	3/14			
75. WACHOVIA MONEY MARKET FUNDS	A	Interest	K	T	Conversion	3/14			
76. U.S. THRIFT SAVINGS PLAN (GOVT SECURITIES FUND)	D	Interest	M	T					
77. UTS GOV'T SEC EQUITY TRUST	A	Dividend	J	T					
78.									

1. Income Gain Codes: (See Columns B1 and D4)	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	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

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

None.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

PAULEY III, WILLIAM H

Date of Report

05/11/2006

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

Date

May 11, 2006

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544