

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009**

*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) McCum, Neal P.	2. Court or Organization U.S. District Court N.D.N.Y.	3. Date of Report 06/30/2010
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 01/01/2009 to 12/31/2009
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: <i>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>		

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. 2009	N.Y. State Employees Retirement System	\$2,793.00
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. 2009	Catholic Relief Services Annuity \$847
2. 2009	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 (I-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (I-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. Valero Energy Corp	A	Dividend	J	T					
7. Verizon Comm	A	Dividend	K	T					
8. YUM Brands	A	Dividend	J	T					
9. Franklin NY T/F Income	B	Interest			Sold	03/06/09	M		market
10. Franklin NY T/F Income	B	Interest			Sold	3/06/09	L		market
11. NYS Dorm 4% 7/1/09	A	Interest			Redeemed	07/01/09	J		market
12. SC Pub 4.25% 1/1/15	A	Interest			Sold	10/08/09	J		market
13. Biotech Holders Tr		None	K	T	Redeemed (part)	04/30/09	K	E	market
14. Fairport Communications (Y)									
15. Kansas City 0% 3/1/09		None			Redeemed	03/02/09	K		market
16. Long Island 0% 12/1/11		None	K	T					
17. Long Island 0% 6/1/19		None			Sold	03/31/09	K		market

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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				
	(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. Long Island 0% 6/1/15		None	K	T					
19. Corning	A	Dividend	K	T					
20. Corning	A	Dividend	K	T					
21. Franklin Temp Mut Disc	A	Dividend	L	T					
22. NYS Dorm 3.5% 7/1/16	A	Interest	J	T					
23. NYS Dorm 3.25% 7/1/14	A	Interest	K	T					
24. NYS Dorm 5% 3/15/13	A	Int./Div.	K	T	Buy	03/31/09	K		market
25. NYS Dorm 5% 3/15/32	B	Interest			Buy	02/25/09	L		market
26. NYS Dorm 5% 3/15/32		None			Sold	03/06/09	K		market
27. FL St PWR 4% 10/1/15	B	Interest	L	T	Buy	03/06/09	L		market
28. NYC WTR 4.75% 6/15/33	A	Interest	K	T	Buy	10/14/09	K		market
29. NYC WTR 5% 6/15/34	A	Interest	K	T	Buy	06/22/09	K		market
30. Southampton 4% 12/15/25	A	Interest	J	T	Buy	10/15/09	J		market
31. NC 4% 1/1/18	A	Interest			Buy	06/30/09	K		market
32. NC 4% 1/1/18		None			Sold	10/08/09	K		market
33. Lake Success NY 3% 1/15/15	B	Interest	M	T	Buy	03/06/09	M		market
34. Campbell Strategic	A	Interest	M	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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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35. Agilent Tech Inc (Y)									
36. Stryker Corp	A	Dividend	K	T					
37. Amer Fds Cap Wrld G&I	A	Dividend	J	T					
38. EOG Resources	A	Dividend	K	T					
39. First Busey Corp (Y)									
40. Hewlett Packard	A	Dividend	K	T					
41. Johnson & Johnson	A	Distribution	K	T					
42. Eli Lilly	A	Dividend	J	T					
43. Pfizer	A	Distribution	J	T					
44. Vodafone Group	A	Dividend	J	T					
45. Xerox	A	Dividend	J	T					
46. Bank of America		None			Sold	01/29/09	J		market
47. NYS Thruway 4.5 4/1/09	A	Interest			Redeemed	04/01/09	K		market
48. NYS Envrmt 4% 6/15/14	A	Interest	K	T					
49. MTA NY Trans 7/1/13		None	K	T					
50. NYS LOC Gvt 4/1/13		None	J	T					
51. NYS Gvt 4/1/14		None	K	T					

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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	S = Assessment T = Cash Market
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52. Mass WTR 2% 8/1/11	A	Interest	L	T	Buy	03/06/09	L		market
53. Norwalk CT 2% 7/1/12	A	Interest	K	T	Buy	03/06/09	K		market
54. NYS Dorm 4% 12/15/16	A	Interest	K	T	Buy	03/31/09	K		market
55. NY S Envrn 4.625% 6/15/33	A	Interest	K	T	Buy	10/14/09	K		market
56. Sentinel Cap Mrks	B	Dividend	K	T					
57. Finl Sector SPDR	A	Dividend	J	T	Buy	01/29/09	J		market
58. Intuitive Surgical Inc		None	K	T					
59. IRA Acct (Wells Fargo)Stks & Bnds listed below:									
60. Boston Scientific (Y)									
61. Eli Lilly	A	Dividend	J	T					
62. Halliburton Co	A	Dividend	J	T					
63. Medco Health (Y)									
64. Pfizer	A	Dividend	K	T	Buy	10/16/09	J		market
65. Pfizer		None			Buy (add'l)	10/27/09	K		market
66. Simon Property Grp	A	Dividend	K	T	Buy (add'l)	03/18/09	J		market
67. Simon Property Grp		None			Buy (add'l)	06/19/09	J		market
68. Simon Property Grp		None			Buy (add'l)	09/18/09	J		market

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69. Simon Property Grp		None			Buy (add'l)	12/18/09	J		market
70. UDR Inc	B	Dividend	K	T	Buy (add'l)	02/02/09	J		market
71. Wyeth	A	Dividend			Merged (with line 64)	10/16/09	K	E	market
72. Amer Express CD 12/30/11	B	Interest	K	T					
73. Franklin T Mutual Disc	A	Dividend	K	T					
74. Amer Fds-New Economy	A	Dividend	K	T					
75. FNMA 4.5% 9/24/24		None	J	T	Buy	09/14/09	J		market
76. Individual Accounts held listed as follows:									
77. US Savings Bonds		None	K	T					
78. Dreyfus Emerging Leaders	A	Dividend	K	T					
79. Dreyfus MidCap Value	A	Dividend	L	T	Buy (add'l)	07/27/09	J		market
80. Dreyfus MidCap Value		None			Buy (add'l)	09/21/09	J		market
81. Dreyfus MidCap Value		None			Buy (add'l)	11/10/09	J		market
82. Dreyfus Appreciation	A	Dividend	K	T	Buy (add'l)	04/03/09	J		market
83. Dreyfus Appreciation		None			Buy (add'l)	04/30/09	J		market
84. Dreyfus Appreciation		None			Buy (add'l)	07/01/09	J		market
85. Dreyfus Appreciation		None			Buy (add'l)	08/18/09	J		market

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86. Dreyfus NY Tax Exempt	B	Dividend	K	T	Buy (add'l)	01/01/09	J		market
87. Dreyfus NY Tax Exempt		None			Buy (add'l)	04/06/09	J		market
88. Dreyfus NY Tax Exempt		None			Sold (part)	07/14/09	K		market
89. Dreyfus Stock Fund	A	Dividend	K	T	Buy (add'l)	08/18/09	J		market
90. Dreyfus Stock Fund		None			Buy (add'l)	11/03/09	J		market
91. Dreyfus Stock Fund		None			Buy (add'l)	11/10/09	J		market
92. Dreyfus Stock Fund		None			Buy (add'l)	12/08/09	J		market
93. Dreyfus Short Int Muni	A	Int./Div.	K	T	Buy	05/05/09	J		market
94. Dreyfus Short Int Muni		None			Buy (add'l)	06/04/09	J		market
95. Dreyfus Short Int Muni		None			Buy (add'l)	06/22/09	J		market
96. Dreyfus Short Int Muni		None			Buy (add'l)	07/14/09	K		market
97. Dreyfus Short Int Muni		None			Buy (add'l)	07/27/09	J		market
98. Dreyfus Short Int Muni		None			Buy (add'l)	08/17/09	J		market
99. Dreyfus Short Int Muni		None			Buy (add'l)	09/08/09	J		market
100. Dreyfus Short Int Muni		None			Buy (add'l)	10/05/09	J		market
101. Dreyfus Short Int Muni		None			Buy (add'l)	11/10/09	J		market
102. Dreyfus Short Int Muni		None			Buy (add'l)	12/04/09	J		market

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103. Syracuse Police Fed Credit Union CDs & Base A/C	B	Interest	K	T					
104. M&T Bank Syracuse Checking A/C	A	Interest	J	T					
105. Metlife Bank & Money Mrk A/C	A	Interest	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
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P3 = \$25,000,001 - \$50,000,000**2. Value Codes**
(See Columns C1 and D3)Q = Appraisal
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(See Column C2)B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000R = Cost (Real Estate Only)
V = OtherC = \$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 = EstimatedD = \$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

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

McCurn, Neal P.

Date of Report

06/30/2010

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

Shares of Wyeth (Line 71) reorganized into shares of Pfizer (line 64)

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

McCurn, Neal P.

Date of Report

06/30/2010

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

July 1, 2010

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