

AO 10
Rev. 1/2010

**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) Crotty, Paul A.	2. Court or Organization U.S. District Court (S.D.N.Y.)	3. Date of Report 05/10/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 500 Pearl Street Room 735 New York, New York 10007	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. _____
2. _____
3. _____
4. _____
5. _____

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SOUTHERN DISTRICT OF NEW YORK

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

☐ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2005 Verizon Income Deferral Plan (No Control)
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	Verizon Communications (See VIII)	\$183,358.00
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	George Arzi 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.)

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	George Mason University School of Law Seminar	November 6, 2009 - November 12, 2009	Captiva, Florida	Seminar Re: Economic Analysis of Law	Air and Ground Transportation
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. American Express	A	Dividend	K	T					
2. Ameriprise Finl Inc.	A	Dividend	J	T					
3. Coca Cola	B	Dividend	L	T					
4. Duke Energy Corp.	A	Dividend	K	T					
5. Exxon Mobil	B	Dividend	I	T					
6. General Electric	B	Dividend	K	T					
7. Hewlett Packard	A	Dividend	K	T					
8. JP Morgan Chase	A	Dividend	K	T	Buy	3/26/09	K		
9. Market Vectors Russia	A	Dividend			Sold	12/7/09	K		
10. Medtronic	B	Dividend	L	T					
11. Microsoft	A	Dividend	K	T					
12. Morgan Stanley	A	Dividend	K	T	Buy	3/26/09	K		
13. Stryker Corp.	A	Dividend	K	T					
14. Teva Pharmaceuticals	A	Dividend	K	T					
15. Alliance Bernstein Capital	A	Interest	L	T					
16. Fidelity NY Muni Fund	C	Dividend	M	T					
17. Norbelle LLC		None	K	U					

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 = \$55,000,001 - \$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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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. New Entrepreneur Fund	B	Dividend	L	U					
19. Rollover IRA #1	D	Dividend	N	F					
20. - Fidelity Low Priced Stock									
21. - Baron Growth									
22. - William Blair Int'l Growth					Sold (part)	2/4/09	K		
23. - American Growth					Buy	2/4/09	K		
24. - Columbia Acorn Class Z									
25. - Dodge & Cox Stock									
26. - Harbor International					Sold (part)	2/4/09	K		
27. - Julius Baer Int'l Equity					Sold (part)	2/4/09	K		
28. - Vanguard 500 Index					Buy	2/4/09	K		
29. - Royce Premier									
30. - Fidelity Cash Reserves									
31. Rollover IRA #2	E	Interest	PI	T					
32. - Campbell Soup Bond					Redeemed	1/15/09	K		
33. - Honeywell Int'l Bond									
34. - Bank of America Bond					Sold	2/6/09	L		

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
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35. - Walt Disney Bond									
36. - Cisco Bond									
37. - American Express Bond					Sold	4/15/09	K		
38. - Botling Group LLC Bond									
39. - Oracle Bond									
40. - Met Life Bond					Sold	3/30/09	K		
41. - JP Morgan Chase Bond					Sold	3/11/09	L		
42. - Kimberly Clark Bond									
43. - Deere & Co. Bond					Sold	3/9/09	L		
44. - Federal Farm Cr. Bks Bond									
45. - TVA Bond									
46. - Fidelity Cash Reserves									
47. - Morgan Stanley Bond					Redeemed	1/15/09	K		
48. - Lehman Bros.					Sold	9/30/09	J		
49. - DuPont Bond									
50. - CIT Bond					Sold	6/9/09	K		
51. - Hartford Fin. Svcs.					Sold	10/23/09	K		

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52. - Target Corp. Bond					Sold	10/21/09	K		
53. - Genworth Global Bond					Sold	10/15/09	K		
54. - GE Bond					Sold	3/19/09	K		
55. - IBM Bond									
56. - Boeing Corp. Bond					Sold	11/17/09	K		
57. - Wachovia Bond					Sold	3/11/09	K		
58. - Allstate Bond					Sold	3/27/09	K		
59. - Wells Fargo Bond					Sold	1/27/09	K		
60. - Anheuser Busch Bond									
61. - HSBC Bond					Sold	4/14/09	K		
62. - Walgreen's					Buy	3/20/09	L		
63. - Merck & Co.					Buy	4/7/09	K		
64. - Federal Farm					Buy	4/6/09	K		
65. - Federal Home Loan					Buy	4/8/09	K		
66. - Pfizer & Co.					Buy	4/15/09	K		
67. - Verizon Communications					Buy	5/18/09	K		
68. - SBC					Buy	6/9/09	K		

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69. - McDonald's					Buy	6/17/09	K		
70. - Con Edison					Buy	8/25/09	L		
71. - General Dynamics					Buy	10/21/09	K		
72. - Wal-Mart					Buy	10/29/09	L		
73. Verizon Income Deferral Plan	F	Interest	O	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

In 2009, I continued to receive payments from my Verizon Income Deferral Plan (10/2009). The total payments are shown in III, *supra*.

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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 _____

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