

FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2008Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                    |                                                                                                                                                                                                                                            |                                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|
| 1. Person Reporting (last name, first, middle initial)<br>DUFFY, KEVIN T.                                                                                                                          | 2. Court or Organization<br>USDC, SDNY                                                                                                                                                                                                     | 3. Date of Report<br>05/12/2009                       |
| 4. Title (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br>U.S. DISTRICT JUDGE, Senior                                                    | 5a. Report Type (check appropriate type)<br><input type="checkbox"/> Nomination, <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br>5b. <input type="checkbox"/> Amended Report | 6. Reporting Period<br>01/01/2008<br>to<br>12/31/2008 |
| 7. Chambers or Office Address<br>UNITED STATES DISTRICT COURT<br>500 PEARL STREET, ROOM 2540<br>NEW YORK, NY 10007                                                                                 | 8. On the basis of the information contained in this Report and any<br>modifications pertaining thereto, it is, in my opinion, in compliance<br>with applicable laws and regulations.<br>Reviewing Officer _____ Date _____                |                                                       |
| IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts,<br>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.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Director Emeritus

Fordham Law Alumni Association

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

RECEIVED  
2009 MAY 18 A 10:33  
FINANCIAL  
REPORTING OFFICE

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

☒ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/12/2009

**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><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1.          |                        |                                        |
| 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.          |                        |
| 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 Law & Economics Educational Seminar | 09/18/08 to 09/21/08 | San Diego, California | Educational Program | Lodging, Food, Travel         |
| 2.                                                             |                      |                       |                     |                               |
| 3.                                                             |                      |                       |                     |                               |
| 4.                                                             |                      |                       |                     |                               |
| 5.                                                             |                      |                       |                     |                               |

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05/12/2009

**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. _____        | _____              | _____             |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/12/2009

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. BP                                                                                                                       | B                                       | Div                                           | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 2. ML BANK                                                                                                                  | B                                       | Interest                                      | N                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 3. UTS NISOURCE                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 4. ERICSON LM TEL                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 5. ML BANK                                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 6. HEWLITT PACKARD                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 7. INTEL CORP.                                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 8. PFIZER INC.                                                                                                              | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 9. HALLIBURTON COMPANY                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 10. COCA-COLA                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 11. AT&T                                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 12. HONEYWELL INT.                                                                                                          | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 13. GENERAL ELECTRIC                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/04                         | J                               |                                |                                                                   |
| 14. J P MORGAN CHASE                                                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 15. ZIMMER HOLDINGS                                                                                                         |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 16. BLACKROCK                                                                                                               | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 17. YAHOO                                                                                                                   |                                         | None                                          | 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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/12/2009

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. TRAVELERS                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 19. Citi Group Inc.                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 20. Merck & Co. Inc.                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 21. ML & Co. STRIDES (Jet Blue)                                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 22. VERIZON COMMUNICATIONS                                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 23. BATTERY PARK CITY                                                                                                       | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 24. DORMITORY AUTHORITY OF NEW<br>yORK                                                                                      | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 09/16                         | K                               |                                |                                                                   |
| 25. KEYSpan GENERATION                                                                                                      | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 26. CORNING INC.                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 27. EATON VANCE                                                                                                             | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 28. COMCAST                                                                                                                 | C                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/04                         | J                               |                                |                                                                   |
| 29. SLM STUDENT LOAN TRUST 20                                                                                               | D                                       | Interest                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 30. Rental Property, Suffolk County, New York                                                                               | D                                       | Rent                                          | N                                               | W                                         | Rental                                          | Sum.                          | J                               |                                |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                |                                                                                                                                                      |                                                                                                                      |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | Q = Appraisal<br>U = Book Value                                                                                                          | R = Cost (Real Estate Only)<br>V = Other                                                                       | S = Assessment<br>W = Estimated                                                                                                                      | T = Cash Market                                                                                                      |                         |
| 3. Value Method Codes<br>(See Column C2)         |                                                                                                                                          |                                                                                                                |                                                                                                                                                      |                                                                                                                      |                         |

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/12/2009

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

NONE

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/12/2009

**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

AO 10  
Rev. 1/2008FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2008

|                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                    |                                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|
| 1. Person Reporting (last name, first, middle initial)<br>DUFFY, KEVIN T.                                                                                                                                         | 2. Court or Organization<br>USDC, SDNY                                                                                                                                                                                                                             | 3. Date of Report<br>05/19/2009                       |
| 4. Title (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br>U.S. DISTRICT JUDGE, Senior                                                                   | 5a. Report Type (check appropriate type)<br><input type="checkbox"/> Nomination,      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br>5b. <input checked="" type="checkbox"/> Amended Report | 6. Reporting Period<br>01/01/2008<br>to<br>12/31/2008 |
| 7. Chambers or Office Address<br>UNITED STATES DISTRICT COURT<br>500 PEARL STREET, ROOM 2540<br>NEW YORK, NY 10007                                                                                                | 8. On the basis of the information contained in this Report and any<br>modifications pertaining thereto, it is, in my opinion, in compliance<br>with applicable laws and regulations.<br><br>Reviewing Officer _____ Date _____                                    |                                                       |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br/>checking the NONE box for each part where you have no reportable information. Sign on last page.</p> |                                                                                                                                                                                                                                                                    |                                                       |

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

☐ NONE (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Director Emeritus

Fordham Law Alumni Association

2.

3.

4.

5.

RECEIVED  
2009 MAY 26 A 10: 09  
FINANCIAL  
DISCLOSURE OFFICE

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

☒ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1.

2.

3.

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/19/2009

**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><br>(yours, not spouse's) |
|-------------|--------------------------------|----------------------------------------|
| 1. 2008     | West Group -- Royalty Payments | \$1,546.72                             |
| 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.          |                        |
| 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 Law & Economics Educational Seminar | 09/18/08 to 09/21/08 | San Diego, California | Educational Program | Lodging, Food, Travel         |
| 2.                                                             |                      |                       |                     |                               |
| 3.                                                             |                      |                       |                     |                               |
| 4.                                                             |                      |                       |                     |                               |
| 5.                                                             |                      |                       |                     |                               |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. BP                                                                                                                       | B                                       | Div                                           | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 2. ML BANK                                                                                                                  | B                                       | Interest                                      | N                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 3. UTS NISOURCE                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 4. ERICSON LM TEL                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 5. ML BANK                                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 6. HEWLITT PACKARD                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 7. INTEL CORP.                                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 8. PFIZER INC.                                                                                                              | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 9. HALLIBURTON COMPANY                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 10. COCA-COLA                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 11. AT&T                                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 12. HONEYWELL INT.                                                                                                          | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 13. GENERAL ELECTRIC                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/04                         | J                               |                                |                                                                   |
| 14. J P MORGAN CHASE                                                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 15. ZIMMER HOLDINGS                                                                                                         |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 16. BLACKROCK                                                                                                               | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 17. YAHOO                                                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/19/2009

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. TRAVELERS                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 19. Citi Group Inc.                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 20. Merck & Co. Inc.                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 21. ML & Co. STRIDES (Jet Blue)                                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 22. VERIZON COMMUNICATIONS                                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 23. BATTERY PARK CITY                                                                                                       | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 24. DORMITORY AUTHORITY OF NEW<br>YORK                                                                                      | B                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 09/16                         | K                               |                                |                                                                   |
| 25. KEYSpan GENERATION                                                                                                      | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 26. CORNING INC.                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 27. EATON VANCE                                                                                                             | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 28. COMCAST                                                                                                                 | C                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/04                         | J                               |                                |                                                                   |
| 29. SLM STUDENT LOAN TRUST 20                                                                                               | D                                       | Interest                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 30. Rental Property, Suffolk County, New York                                                                               | D                                       | Rent                                          | N                                               | W                                         | Rental                                          | Sum.                          | J                               |                                |                                                                   |

### 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

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

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

NONE

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DUFFY, KEVIN T.

Date of Report

05/19/2009

## 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  
AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

VIL

### 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