

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                       |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>PAULEY III, WILLIAM H.                                                                                                               | <b>2. Court or Organization</b><br><br>SOUTHERN DISTRICT OF NEW YORK                                                                                                                                                                                                  | <b>3. Date of Report</b><br><br>05/12/2010                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>U.S. DISTRICT JUDGE (active)                                               | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination,      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2009<br>to<br>12/31/2009 |
| <b>7. Chambers or Office Address</b><br><br>UNITED STATES COURTHOUSE<br>500 PEARL STREET<br>NEW YORK, NEW YORK 10007-1581                                                                                 | <b>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.</b><br><br>Reviewing Officer _____ Date _____                              |                                                                  |
| <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. |                                                                                                                                                                                                                                                                       |                                                                  |

## 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. Member of Board of Visitors | Duke University School of Law      |
| 2.                             |                                    |
| 3.                             |                                    |
| 4.                             |                                    |
| 5.                             |                                    |

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## 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. 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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**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. 2009     | Snitow & Pauley, a former law partnership winding-down its affairs<br>(continuation of payments agreement described in Part II, line 1) | \$3,081.00                             |
| 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     | Self-Employed Licensed Real Estate Sales Person |
| 2. 2009     | Self-Employed Floral Designer                   |
| 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. | Duke University School of Law        | April 16-17, 2009    | Durham, NC      | Board of Visitors Meeting | Travel, food, and lodging.    |
| 2. | Duke University School of Law        | October 29-30, 2009  | Durham, NC      | Board of Visitors Meeting | Travel, food, and lodging.    |
| 3. | George Washington Univ School of Law | November 10-11, 2009 | Washington DC   | Moot Court Trial          | Travel, food, and lodging     |
| 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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Name of Person Reporting

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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<br>of 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>mm/dd/yy | (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. COMMON STOCKS                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. EXXON/MOBIL                                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | D                              |                                                                   |
| 3. AXA AMERICAN DEPOSITORY<br>SHARES                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | D                              |                                                                   |
| 4. PRUDENTIAL FIN'L SRVS                                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | C                              |                                                                   |
| 5. IBM                                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | C                              |                                                                   |
| 6.                                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 7. MUTUAL FUNDS                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 8. ALGER FD BAL PORTFOLIO CL A<br>(ALBAX)                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               | B                              |                                                                   |
| 9. DAVIS NY VENTURE FUND CL A<br>(NYVTX)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               | C                              |                                                                   |
| 10. DRYDEN TOTAL RETURN BOND FUND<br>CL A (PDBAX)                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | A                              |                                                                   |
| 11. DRYDEN ACTIVE ALLOCATION FUND<br>CL A (PIBAX)                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |
| 12. DRYDEN INTL EQTY FD CL A (PJRX)                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               | A                              |                                                                   |
| 13. DRYDEN STOCK INDEX FUND CL A<br>(PSIAX)                                                                                 | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | L                               |                                |                                                                   |
| 14. DRYDEN SM CAP CORE EQTY FD CL A<br>(PQVAX)                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               | B                              |                                                                   |
| 15. FEDERATED INTERNATIONAL VALUE<br>FUND CL A (FGFAX)                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | B                              |                                                                   |
| 16. GOLDMAN SACHS MID CAP VALUE<br>FUND CL A (GCMAX)                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |
| 17. J. HANCOCK US GLOBAL LEADERS<br>GROWTH CL A (USGLX)                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                |                                                                                                                                                      |                                                                                                                      |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-------------------------|
| 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)         |                                                                                                                                          |                                                                                                                |                                                                                                                                                      |                                                                                                                      |                         |

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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<br>of 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>mm/dd/yy | (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. JENNISON NATURAL RESOURCES FUND CL A (PGNAX)                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               | D                              |                                                                   |
| 19. JD MODERATE ALLOCATION FD CL A (JDTAX)                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | L                               |                                |                                                                   |
| 20. JENNISON UTILITY FUND CL A (PRUAX)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |
| 21. JENINSON SMALL CO. FUND CLASS A (PGOAX)                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |
| 22. DRYDEN STRATEGIC VALUE FUND CL A (SUVAX)                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |
| 23. SELIG INCOME AND GROWTH CL A (SINFX)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 24. SELIG SM CAP VALUE FD CL A (SSCVX)                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | K                               |                                |                                                                   |
| 25. AGDAX - ALLIANCE BERNSTEIN HIGH INC FD                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 26. MCGFX - ASTON FUNDS MONTAG & CALDWELL                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 27. SMGIX - COLUMBIA CONTRARIAN CORE FD                                                                                     | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 28. GSFTX - COLUMBIA FDS SER TRI DIV INC                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 29. DPLTX - DREYFUS HIGH YIELD FD                                                                                           | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 30. KDSSX - DWS VALUE SER INC SM CAP                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 31. SGIIX - FIRST EAGLE GLOBAL FUND                                                                                         | A                                       | Distribution                                  | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 32. ICHHX - FRANKLIN/TEMPLETON HARD CUR FD                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 33. FNYTZ - FRANKLIN NY TAX FREE INT TRM                                                                                    | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 34. HFM CX - HARTFORD MUTUAL FD MID CAP                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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>H = \$1,000,001 - \$5,000,000                                    | D = \$5,001 - \$15,000<br>I = \$15,001 - \$50,000            | 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>P = \$250,000,001 - \$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 \$50,000,000 | 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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☐ 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<br>of 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>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-I) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. HIPX - HARTFORD INFLATION PLUS FD                                                                                       | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 36. HSKSX - JP MORGAN TRI HIGHBRIDGE STAT FD                                                                                |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 37. IVQAX - MORGAN STANLEY INTL VALUE EQUITY FD                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 38. SBNYX - LEGG MASON NY MUN FD                                                                                            | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 39. LSGIX - LOOMIS SAYLES VALUE FD                                                                                          | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 40. LISFX - LORDB ABBETT MUN INC TR INTER FD                                                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 41. MGRAX - MFS INTL GROWTH FD                                                                                              | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 42. NEFJX - NATIXIS ADVISOR SM CAP VAL FD                                                                                   |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 43. PCGRX - PIONEER MID CAP VAL FD                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 44. RMUNX - ROCHESTER MUNI FD                                                                                               | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 45. RYMFx - RYDEX SGI MANAGED FUT STRAT                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 46. TGBAX - TEMPLETON GLOBAL BOND FD                                                                                        | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 47.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 48. ANNUITIES                                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. DISCOVERY PLUS                                                                                                          | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 51. CASH AND CASH EQUIVALENTS                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B) 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 C) 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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
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| 52. JP MORGAN CHASE                                                                                                         | A                                       | Interest                                      | L                                               | T                                         | Sold<br>(part)                                  | 08/25/09                | K                               |                                |                                                                   |
| 53. U. S. TREASURY BILLS                                                                                                    | C                                       | Interest                                      | O                                               | T                                         | Sold<br>(part)                                  | 10/15/09                | L                               |                                |                                                                   |
| 54. U.S. SAVINGS BONDS                                                                                                      | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. AXA FIN'L LIFE INS (Cash Surrender<br>Value)                                                                            | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. AXA FIN'L LIFE INS (Cash Surrender<br>Value)                                                                            | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. WACHOVIA MONEY MARKET<br>ACCOUNT                                                                                        | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. EVERGREEN MUNICIPAL MONEY<br>MARKET FUND                                                                                | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 59. NEW YORK STATE COLLEGE TUITION<br>SAVINGS FUND PROGRAM                                                                  | B                                       | Interest                                      | L                                               | T                                         | Buy                                             | 12/23/09                | J                               |                                |                                                                   |
| 60. WACHOVIA                                                                                                                | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 61. TPMXX - RBC PRIME MONEY MARKET<br>FD                                                                                    | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 62. ACMXX - RBC MONEY MARKET<br>OBLIGATIONS TRUST                                                                           | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 63.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 64. RETIREMENT ACCOUNTS                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 65. 401K PLAN - ING                                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. IRA SCUDDER                                                                                                             | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. ALGER CAPITAL APPRECIATION FD<br>CL A (ACAAX)                                                                           |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 68. JENNISON GROWTH CL A (PJFAX)                                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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>H = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>I = 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

PAULEY III, WILLIAM H.

Date of Report

05/12/2010

## 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<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-I)        | (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>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-I) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. JENNISON MID-CAP GROWTH FUND CL A (PEEAX)                                                                               |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 70. DAVIS NY VENTURE FUND CL A (NYVTX)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 71. GOLDMAN SACHS TRUST FUND CAP GRWTH PORTFOLIO CL A (GSCGX)                                                               |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 72. JENNISON HLTH SCI FD CL A (PHLAX)                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | A                              |                                                                   |
| 73. JENNISON SELECT GROWTH FUND CL A (SPFAX)                                                                                |                                         | None                                          | J                                               | T                                         | Sold (part)                                     | 08/25/09                | J                               |                                |                                                                   |
| 74. SELIG COMM & INFO FD CL A (SLMCX)                                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 75. WACHOVIA MONEY MARKET FUNDS                                                                                             | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               |                                |                                                                   |
| 76. UTS GOV'T SEC EQUITY TRUST                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/25/09                | J                               | A                              |                                                                   |
| 77. TPMXX - RBC PRIME MONEY MARKET FD                                                                                       | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 78. ACMXX - RBC MONEY MARKET OBLIGATIONS TRUST                                                                              | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 79. AGDAX - ALLIANCE BERNSTEIN HIGH INC FD                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 80. MCGFX - ASTON FUNDS MONTAG & CALDWELL                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 81. BGNIX - BLACKROCK GNMA PORTFOLIO                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 82. SMGIX - COLUMBIA CONTRARIAN CORE FD                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 83. GSFTX - COLUMBIA FDS SER TRI DIV INC                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 84. DPLTX - DREYFUS HIGH YIELD FD                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 85. KDSSX - DWS VALUE SER INC SM CAP                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 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 \$50,000,000 | 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

PAULEY III, WILLIAM H.

Date of Report

05/12/2010

## 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<br>of 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>mm/dd/yy | (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) |
| 86. SGIIX - FIRST EAGLE GLOBAL FUND                                                                                         | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 87. ICHHX - FRANKLIN/TEMPLETON<br>HARD CUR FD                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 88. HFMCX - HARTFORD MUTUAL FD MID<br>CAP                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 89. IIPIX - HARTFORD INFLATION PLUS<br>FD                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 90. HLLVX - JP MORGAN SHORT DUR<br>BOND FD                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 91. HSKSX - JP MORGAN TR1<br>HIGHBRIDGE STAT FD                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 92. WOBIX - JP MORGAN TR2 CORE BD                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 93. LSGIX - LOOMIS SAYLES VALUE FD                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 94. MGRAX - MFS INTL GROWTH FD                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 95. IVQAX - MORGAN STANLEY INTL<br>VALUE EQUITY FD                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 96. NEPIX - NATIXIS ADVISOR SM CAP<br>VAL FD                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 97. PAGNX - PIMCO GNMA FD                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 98. PCGRX - PIONEER MID CAP VAL FD                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 99. RYMFx - RYDEX SGI MANAGED FUT<br>STRAT                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 100. TAIBX - TARGET PORTFOLIO INTER<br>TERM BD                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |
| 101. TGBAX - TEMPLETON GLOBAL BOND<br>FD                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/25/09                | J                               |                                |                                                                   |

|                                                  |                                                                                        |                                                       |                                                                                           |                                                              |                         |
|--------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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**FINANCIAL DISCLOSURE REPORT**

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| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| PAULEY III, WILLIAM H.   | 05/12/2010     |

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

None.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

PAULEY III, WILLIAM H.

Date of Report

5/12/2010

## 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

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