

FINANCIAL DISCLOSURE REPORT

2004

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

1. Person Reporting (Last name, First name, Middle initial) DUFFY, KEVIN T	2. Court or Organization USDC, SDNY	3. Date of Report 5/11/2005
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE, Senior	5. Report Type (check appropriate type) ☒ Nomination ☐ Date ☒ Initial ☐ Annual ☒ Final	6. Reporting Period 1/1/2004 to 12/31/2004
7. Chambers or Office Address UNITED STATES DISTRICT COURT 40 FOLEY SQUARE - ROOM 2104 NEW YORK, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. viewing officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

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

☐ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Vice President

Fordham Law Alumni Association

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

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

** NOTHING TO REPORT **

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FINANCIAL
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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>GROSS INCOME</u> (yours, not spouse's)
1. 2004	West Group (formerly McGraw-Hill Inc.) -- Royalty Payments	5197.00
2. 2/6/2004	Real Estate License -- U.S. Marshals Service	21,000.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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. 2004	N.A.S.D. -- N.Y.S.E. Arbitrator

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. George Mason University Law & Economics Educational Seminar from 06/14/04 to 06/20/04	\$2483.59 (Total) Seminar on Science in the Courts in Santa Fe, New Mexico: \$376.40 (air fare); \$1392 (lodging); \$715.19 (food).

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

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A -)	Type (e.g. div. rent. or int.)	Value Code 2 (L-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, mortg., redemption)	(2) Date: Month - Day	(3) Value Code 2 (L-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. CHASE BANK	A	Int	K	T					
2. BP	A	Div	K	T					
3. FLEET BANK	A	Interest	J	T	closed	2/09	J		
4. CMA MONEY FUND (name change to: ML BANK)	A	Dividend	J	T					
5. UTS NISOURCE	A	Dividend	J	T					
6. ERICSON LM TEL	A	Dividend	J	T					
7. CMA MONEY FUND (name change to: ML BANK)	A	Dividend	K	T					
8. HEWLETT PACKARD	A	Dividend	J	T					
9. INTEL CORP.	A	Dividend	L	T					
10. PFIZER INC.	A	Dividend	L	T					
11. HALLIBURTON COMPANY	A	Dividend	K	T					
12. ML BASIC VALUE	D	Distribution	L	T					
13. COCA-COLA	A	Dividend	K	T					
14. AT&T	A	Dividend	K	T					
15. HONEYWELL INT.	A	Dividend	L	T					
16. BRISTOL MYERS	B	Dividend	K	T					
17. GENERAL ELECTRIC	A	Dividend	K	T					
18. J P MORGAN	B	Dividend	K	T					

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

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	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, dividend, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. TXU CORP.	A	Dividend	L	T					
20. ZIMMER HOLDINGS		None	J	T					
21. ML BALANCED CAPITAL FUND	A	Dividend	K	T					
22. AT&T WIRELESS		None	J	T	exchanged	10/27	J		
23. AT&T WIRELESS					sell	10/27			
24. YAHOO			K	T					
25. Travelers (name changed to St. Paul Travelers)	A		J	T	Stock Div.	4/5	J		
26. St. Paul Travelers					partial	4/21	J		
27. Citi Group Inc. (spin-off of Travelers)	A	Dividend	J	T	spin off				
28. Merck & Co. Inc.	A	Dividend	J	T	buy	9/30	J		
29. Merck & Co. Inc.	A	Dividend	J	T	buy	11/4			
30. ML & Co. STRIDES (Jet Blue)	A	None	J	T	buy	5/17	J		
31. VERIZON	E	Dividend	K	T	buy	6/24	K		
32. BATTERY PARK CITY	E	Bond	K	T	buy	10/26	K		

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2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$30,000	L = \$30,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5/11/2005

NOTE: A PERSON WHO FULLY 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