

UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF NEW YORK

P.O. BOX 7365

100 SOUTH CLINTON STREET

SYRACUSE, NEW YORK 13261-7365

CHAMBERS OF
NEAL P. McCURN
SENIOR JUDGE

RECEIVED
JUN -9 A 11:20
FINANCIAL
DISCLOSURE OFFICE

TEL: 315-234-8590

May 27, 2004

Judge Mary M. Lisi, Chair
Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E. Suite 2-301
Washington, D.C. 20544

Re: 2003 Financial Disclosure Report

Dear Judge Lisi:

In response to your correspondence of May 19, 2004 concerning my 2003 Financial Disclosure Report dated March 26, 2004, please be advised as follows.

(1) Part VII, page 2, line 36 listed on my March 26, 2004 report for the year 2003 "Zimmer Common" was owned in 2002 and was exempt from disclosure because its value at that time was below the report threshold. I should have inserted a parenthetical "(X)" along side the asset name in my year 2003 report, and beg your indulgence for not doing so, and ask your permission to so amend my 2003 report in this manner *ex post facto*.

(2) Part VII, page 2 line 24 in my 2002 report listed as "ML Floating Rate Fund" reported cash held by my broker Merrill Lynch in my IRS account at the end of the year 2002. During the year 2003 I closed out my Merrill Lynch brokerage IRA account and transferred all assets therein to an UBS brokerage account. I inadvertently neglected to list cash held in my UBS IRA account at the end of the year 2003, and hereby amend my 2003 return to set forth at Part VII, page 2, line 27 "UBS Bank USA Dep. Acct." The gross value at the end of the 2003 reporting period as set forth in Part VII, Col. C "1", page 2, line 20 is not changed.

Very truly yours,



NEAL P. McCURN
SENIOR U.S. DISTRICT JUDGE

NPMcC:jw

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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) MCCURN, NEAL P	2. Court or Organization US DISTRICT COURT NDNY	3. Date of Report 3/26/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address P.O. BOX 7365 100 S. CLINTON ST SYRACUSE, NY 13261-7365	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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

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

☐ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board of Visitors

Syracuse University College of Law

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

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

NY State Employees Retirement System

2,551

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.)DATESOURCE AND TYPE

1.

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

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

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1.

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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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Name of Person Reporting
MCCURN, NEAL P

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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) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Brokerage Acct. # 1 -(Common Stocks):									
2. AT & T	A	DIV	J	T					
3. AT&T Wireless Serv., Inc		None	J	T					
4. QWEST		None	J	T					
5. Bell South	A	DIV	K	T					
6. SW Bell	A	DIV	K	T					
7. Salomon Bros. Fund Inc.	A	Div			Sold	6/27	K		
8.									
9. EOG Res. Inc	A	Dividend	J	T					
10. Ingersol Rand Co. (See Part VIII)	A	Dividend	J	T					
11. US Savings Bonds		None	K	T					
12. MUTUAL FUNDS:									
13. Manhattan (Neuburger)	A	DIV			Sold	5/30	L		
14. Inter. Fund (Neuburger)	A	Dividend			Sold	5/30	J		
15. Millenium Fund (Neuburger)		None			Sold	5/30	J		
16. Dryfus Emer.LDR Fund	A	Dividend	K	T					
17. Dryfus Midcap Value Fund	A	Dividend	K	T					
18. Dryfus Appreciation Fund	A	Dividend	J	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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Name of Person Reporting
MCCURN, NEAL P

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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-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, 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. Franklin NY Tx Free	D	DIV			Sold	3/20	M	C	
20. UBS IRA ACCT: (Aggregate) (Common Stocks):	E	Div&Int	N	T					
21. WYETH (Successor to Amer. Home Prod-Stock)									
22. Bristol Myers									
23. Inv. Rem. I Sys. (X)									value end 2003 less than \$1,000
24. Merck & Co. (see Part VIII)									
25. New Econ. Fund									
26. Boston Sci.									
27.									
28. Home Depot									
29. Halliburton Com									
30. Lilly Eli & Co (see Part VIII)									
31. Philips Pet Com Stock									
32. Simon Prop Group-REIT									
33. UTD DOM Realty REIT									
34. Target Co. (See Part VIII)									
35. Time Warner (formerly AOL-Time-Warner)									
36. Zimmer Common									

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
37. BROKERAGE ACCOUNT: (Stock & Bonds)									
38. Hewlett Packard	A	Dividend	J	T					
39. US Treas. Notes	A	Interest			Sell	10/15	J		
40. NYS Urban Dev. Corp Bond	A	Interest	J	T					
41. Gen Motors Acct Bond	B	Interest			Sell	10/15	K		
42. NM BK of NY Bond	A	Interest			Redemption	5/28	J	A	
43. BioTech HLDERS Dep Rcpts		None	K	T					
44. REN RE Holdings Bond	B	Interest			Sell	9/29	J		
45. BROKERAGE ACCT. (Common Stocks):									
46. Eastman Chemical	A	Dividend	J	T					
47. Eastman Kodak	A	Dividend	J	T					
48. Amer.Elect.PowerCo.	B	Dividend	K	T					
49. Genesee Corp. (X) (See Part VIII)		None	J	T					
50. IBM	A	Dividend	K	T					
51. Motorola	A	Dividend	J	T					
52. SunMicrosystems, Inc.		None	J	T					
53. Lilly, Eli (X) (See Part VIII)	A	Dividend	K	T					now at pg 2 #30
54. Merck Co. (X) (See Part VIII)	A	Dividend	K	T					now at pg 2 #24

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(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	
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55. YUM Brands Inc.		None	J	T					
56. AT&T Wireless Serv.Inc - (X) (see Part VIII)									
57. LSI Logis. - Stock		None	J	T					
58. XEROX	A	Dividend	J	T					
59. Syracuse Police Fed. Cr. Union	B	Dividend	K	T					
60. M & T Bank Syracuse	A	Interest	J	T					
61. Intuitive Surgical - Stock		None	J	T					
62. ITO YOKADO Ltd Dep Rec	A	Dividend			Sell	5/22	J		
63. COMMON STOCKS:									
64. Pfizer, Inc. - See Part VIII	A	Dividend	J	T					
65. First Buscy Corp	A	Dividend	J	T	Buy	8/13	J		
66. Comcast - See Part VIII	A	Dividend	J	T					
67. Lucent Tech - See Part VIII		None	J	T					
68. UBS IRA ACCT: (See Part VIII)									
69. GMAC Bond									
70. Ford Motor Credit Co Bond									
71. VODA Phone Group Bond									
72. BROKERAGE ACCOUNTS: (See Part VIII)									

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73. Campbell Strategic Allocation Fund	C	Dividend	M	T	Buy	10/31	M		
74. UBS M2 Fund	A	Dividend	L	T	Buy	6/10	L		
75. Conagra Foods Common Stock	A	Dividend	J	T	Buy	8/15	J		
76. PIMCO Mun. Inc. Fund - See Part VIII	A	Dividend	K	T	Buy	6/25	K		
77. PIMCO Mun. Inc. Fund -	A	Dividend			Sell	8/13	K	B	
78. Franklyn NY Intermediate Term Tax Free Class A	D	Dividend	M	T	Buy	3/20	M		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report)

VII, page 1, #10 of this report listed incorrectly at page 3, #54 of 2002 report

VII, page 2, #27 of this report incorrectly listed at page 2, #27 of 2002 report - now correctly listed at page 1 at #10 of this report

VII, page 2, #30 of this report listed incorrectly at page 3, #53 of 2002 report

VII, page 2, # 34, neglected to list this in past reports - purchased in 2001

VII, page 3, #49, liquidating distributions have reduced value to less than \$1,000

VII, page 4, #56 - duplicate of VII, page 1, # 2

VII, page 4, #64 - transferred from IRA Acct 12/16/99 - neglected to report prior to this year

VII, page 4, #66 - spinoff from AT&T 11/25/02 - neglected to report in 2002 report

VII, page 4, #67 - spinoff from AT&T - neglected to report in 2002 report

VII, page 4, #68 - additional investment asset #'s 69, 70 & 71 not heretofore listed in IRA aggregate account at page 2, #20 of Part VII

VII, page 4, #72 - additions in 2003

VII, page 4, #76 - neglected to report purchase in 2002 report (reported sale in 2003 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

4-6-04

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