

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial) Crotty, Paul A.	2. Court or Organization U.S. District Court (S.D.N.Y.)	3. Date of Report 05/11/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior - Effective 8/1/2015)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 500 Pearl Street Room 1350 New York, New York 10007		
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.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. 2017

(Spouse) George Arzt Communications - Salary

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. AMEX	A	Dividend	K	T					
2. Ameriprise Fin'l Inc.	A	Dividend	K	T					
3. Apple Inc.	A	Dividend	K	T					
4. Coca Cola	B	Dividend	L	T					
5. Duke Energy Corp.	A	Dividend	K	T					
6. Exxon Mobil	A	Dividend	L	T					
7. General Electric	A	Dividend	J	T					
8. Spectra Energy Corp.	A	Dividend	K	T					
9. Stryker Corp.	A	Dividend	K	T					
10. Teva Pharmaceuticals	A	Dividend	J	T					
11. United Health Care	A	Dividend	K	T					
12. Norbelle LLC		None	K	U					
13. Accelerate Diagnostics		None	K	T					
14. Dreyfus Institutional Treasury	A	Dividend	K	T					
15. Bristol-Myers Squibb	A	Dividend	J	T					
16. Ford Motor	A	Dividend	J	T					
17. Lockheed Martin	A	Dividend	J	T					

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

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. Pfizer	A	Dividend	J	T					
19. Alphabet Inc. Class I		None	K	T					
20. Union Pacific Corp.	A	Dividend	J	T					
21. Consolidated IRA (H)									
22. - Alphabet Inc. Class C		None	K	T					
23. - Amazon		None	K	T					
24. - American Water Works	A	Dividend	K	T					
25. - Apache Corp.	A	Dividend			Sold	04/13/17	K		
26. - Apple Inc.	A	Dividend	K	T					
27. - AT&T	A	Dividend	J	T	Buy	06/13/17	K		
28. - Barrick Gold Corp.	A	Dividend			Sold	04/19/17	J		
29. - Bristol-Myers Squibb	A	Dividend			Sold	05/02/17	J		
30. - Boeing	A	Dividend	K	T	Buy	06/13/17	J		
31. - Caterpillar	A	Dividend	K	T					
32. - Chubb Ltd.	A	Dividend	K	T					
33. - Comcast	A	Dividend	K	T					
34. - Constellation Brands	A	Dividend	J	T	Buy	08/02/17	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

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35. - Costco	A	Dividend	K	T					
36. - Disney Walt	A	Dividend	K	T					
37. - Devon Energy	A	Dividend	K	T	Buy	04/19/17	K		
38. - Ecolab	A	Dividend	K	T					
39. - Exxon Mobil	A	Dividend			Sold	08/03/17	K		
40. - Facebook		None	K	T					
41. - General Dynamics	A	Dividend	K	T	Buy	09/05/17	K		
42. - Ford Motor	A	Dividend			Sold	10/03/17	K		
43. - Henry Schein		None			Sold	10/25/17	K		
44. - Home Depot	A	Dividend	K	T					
45. - Honeywell	A	Dividend	K	T					
46. - International Drager	A	Dividend	K	T	Buy	10/05/17	K		
47. - Lockheed Martin	A	Dividend	K	T					
48. - McDonalds	A	Dividend	K	T	Buy	03/05/17	K		
49. - Medtronics	A	Dividend	J	T					
50. - Monsanto	A	Dividend			Sold	03/21/17	K		
51. - Microsoft	A	Dividend	K	T	Buy	04/15/17	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Nucor	A	Dividend	K	T					
53. - Palo Alto Networks		None			Sold	03/07/17	J		
54. - Pfizer	A	Dividend	K	T					
55. - Phillips 66	A	Dividend	K	T	Buy	10/18/17	J		
56. - Pioneer Natural Resources	A	Dividend	K	T					
57. - Raytheon	A	Dividend	K	T					
58. - Sherwin Williams	A	Dividend	K	T					
59. - Southwest Airlines	A	Dividend			Sold	08/19/17	K		
60. - Stryker	A	Dividend	K	T					
61. - Suntrust	A	Dividend	K	T	Buy	04/27/17	J		
62. - Union Pacific	A	Dividend	K	T					
63. - U.S. Bankcorp	A	Dividend	K	T					
64. - Visa Inc.	A	Dividend	K	T					
65. - Vulcan Materials	A	Dividend	K	T	Buy	09/06/17	K		
66. - Waste Management	A	Dividend	K	T					
67. - Weyerhaeuser Reit	A	Dividend	K	T					
68. - Honeywell Int'l Bond	A	Interest	K	T					

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69. - Walt Disney Bond	B	Interest			Redeemed	07/17/17	K		
70. - Oracle Bond	B	Interest	K	T					
71. - Kimberly Clark Bond	B	Interest			Redeemed	08/01/17	K		
72. - Pepsico Bond	B	Interest	K	T					
73. - Apple Inc. Bond	A	Interest	K	T					
74. - Federal Home Loan Bond	B	Interest	K	T					
75. - Medtronic Bond	B	Interest	K	T					
76. - McDonald's Bond	B	Interest	K	T					
77. - Con Edison Bond	B	Interest	K	T					
78. - Wal-Mart Bond	A	Interest			Redeemed	04/05/17	K		
79. - Phillip Morris Bond	B	Interest	K	T					
80. - Total Capital SA Bond	B	Interest	K	T					
81. - General Electric Bond	B	Interest	K	T					
82. - Praxair Bond	A	Interest	K	T					
83. - General Dynamics Bond	B	Interest	K	T					
84. - Comcast Bond	B	Interest	K	T					
85. - U.S. Treasury Notes	A	Interest	K	T					

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86. - TVA Bond	A	Interest	K	T					
87. - Novartis Bond	A	Interest	K	T					
88. - Cisco Bond	B	Interest	K	T					
89. - Dreyfus Financial	A	Dividend	J	T					
90. - Chevron	A	Interest	K	T	Buy	09/13/17	K		
91. - John Deere	A	Interest	K	T	Buy	01/10/17	K		

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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. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Paul A. Crotty

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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