

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Gardephe, Paul G.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 10/29/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge, active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse 40 Foley Square 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board Member	Sunsglow
2. Executor	Estate #1
3.	
4.	
5.	

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. 2003	with Time Warner Inc., regarding deferred compensation plan, Time Warner Savings Plan
2. 2008	with Patterson Belknap Webb & Tyler, LLP, regarding capital account and fees earned while a firm partner, and 401k, money purchase, and cash balance plans
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> (yours, not spouse's)
1. 2014	New York Law School	\$4,500.00
2. 2014	Fordham Law School	\$2,500.02
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. 2014	Medshadow Foundation, wages
2. 2014	MJZ Inc., rental income
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Dreyfus Basic Money Market Mutual Fund		None	N	T					
2. Janus Research Fund	B	Dividend	J	T					
3. Apple Bank cert of deposit	A	Interest	K	T					
4. Neuberger Berman Int'l Equity Fund		None	K	T					
5. Janus Enterprise Fund	A	Dividend	J	T					
6. Janus Research Fund	A	Dividend	J	T					
7. Janus Growth and Income Fund	D	Dividend	M	T					
8. Janus Global Research Fund (f/k/a Janus Worldwide Fund)	B	Dividend	K	T					
9. Fidelity Magellan Fund	C	Dividend	K	T					
10. Neuberger Berman Large Cap Value Fund (f/k/a NB Partners Fund)	B	Dividend	K	T					
11. Time Warner Savings Plan	E	Dividend	N	T					
12. -- Large Cap Value Fund									
13. -- Time Warner Stock Fund									
14. Time Warner Deferred Compensation Plan (Y)									
15. -- Dodge & Cox Stock Fund									
16. New York College Savings Plan (no control other than risk)	F	Dividend	O	T					
17. -- Moderate Age-Based Option: Income Portfolio									

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 ~\$250,001 - \$500,000	O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000	P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
(See Column C2)	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
	U ~Book Value	V ~Other	W ~Estimated		

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

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	(1) Amount Code I (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)

18. -- Aggressive Growth Portfolio									
19. Patterson Belknap Money Purchase Plan	E	Dividend	N	T					
20. -- Vanguard Institutional Index Fund					Buy	07/03/14	M		
21. -- Vanguard Growth and Income Fund									
22. -- Vanguard Windsor Fund									
23. Patterson Belknap Webb & Tyler 401k	E	Dividend	M	T					
24. -- Vanguard Institutional Index Fund					Buy	07/03/14	L		
25. -- Vanguard Growth & Income Fund									
26. -- Vanguard Windsor Fund									
27. Vanguard Tax Managed Capital Appreciation Fund	D	Dividend	M	T					
28. Vanguard 500 Index Fund (f/k/a VG Tax-Mang. Growth & Inc. Fund)	D	Dividend	M	T					
29. Vanguard Developed Markets Index Fund (f/k/a VG Tax-Mang. Int'l Fund)		None	M	T					
30. Vanguard Tax Managed Small Cap Fund	D	Dividend	M	T					
31. Vanguard Prime Money Market Fund	A	Dividend	L	T					
32. Northwestern Mutual Life ins. policy (cash value,no control)	B	Dividend	K	T					
33. Northwestern Mutual Life ins. policy (cash value,no control)	C	Dividend	K	T					
34. Northwestern Mutual Life ins. policy (cash value,no control)	C	Dividend	L	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 = \$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	
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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35. Savings Bank Life ins. (cash value, no control)	A	Dividend	J	T					
36. Savings Bank Life ins. (cash value, no control)	A	Dividend	J	T					
37. Mutual of America Money Market Fund		None	J	T					
38. Estate #1	A	Interest	J	T					
39. -Accounts at Barre Savings Bank									
40. -CD at Spencer Savings Bank									

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

Note For Section VII, Item 4

Neuberger Berman merged the International Fund into the International Equity Fund in 2014.

Note For Section VII, Item 12

The plan administrator replaced the Dodge & Cox Stock Fund with the Large Cap Value Fund in July 2014.

Note for Section VII, Item 14, Time Warner Deferred Compensation Plan

The remaining contents of this account were distributed to me in 2010. See 2010 FDR, Section III. The balance in this account has been zero since 2010.

Note for Section VII, Items 18 and 22

The plan administrator transferred the assets formerly in the Vanguard 500 Index Fund to the Vanguard Institutional Index Fund.

Note for Section VII, Item 26

Vanguard merged the Vanguard Tax Managed Growth and Income Fund into the Vanguard 500 Index Fund in May 2014.

Note for Section VII, Item 27

The Vanguard Developed Market Index Fund was formerly known as the Vanguard Tax Managed International Fund.

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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 G. Gardephe**

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
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