AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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)	2. Court or Organization	3. Date of Report
Scullin, Frederick J.	US District Court (NDNY)	04/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US District Judge-Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2019 **to** 12/31/2019
7. Chambers or Office Address		
PO Box 7255 100 S. Clinton St. Syracuse, NY 13261		

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.	2019	NYS & Local employees retirement system --lifetime
2.		
3.		

Name of Person Reporting	Date of Report
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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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2019	NYS & local employees retirement system-lifetime	$7,633.00
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.)*

	DATE	SOURCE AND TYPE
1.		
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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Scullin, Frederick J.	04/30/2020

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Mass Mutual	policy loan	K
2.	Mass Mutual	policy loan	J
3.	Mass Mutual	policy loan	J
4.			
5.			

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Scullin, Frederick J.	04/30/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. BROKERAGE ACCOUNT #1 (H)									
2. Key Bank-cash, money markets, FDIC deposits	A	Int./Div.	J	T					
3. Blackrock Global Allocation Fund Inc.	A	Dividend	J	T					
4. Lord Abbett Fundamental Equity Fund Class A	C	Dividend	L	T					
5. DWS NY Tax Free Income Fund Class C	A	Int./Div.	J	T					
6. IShares Gold Trust		None	K	T	Sold (part)	12/31/19	J	A	
7. BROKERAGE ACCOUNT #2 IRA (H)									
8. Key Bank-cash,, money markets, FDIC deposits	A	Interest	J	T					
9. The Merger Fund	A	Dividend	J	T	Sold (part)	10/23/19	J	A	
10. Pimco All Asset All Authority Fund	A	Dividend	J	T					
11. Pimco Income Fund Class A	A	Dividend	J	T					
12. Invesco Exchange-Traded FD	A	Dividend	J	T					
13. BROKERAGE ACCOUNT #3 IRA (H)									
14. Key Bank-cash, money markets, FDIC deposits	A	Interest	J	T					
15. The Merger Fund	A	Dividend	J	T					
16. Pimco All Asset All AuthorityFund	A	Dividend	J	T					
17. Pimco Income Fund Class A	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (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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Scullin, Frederick J.	04/30/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
18. Invesco Exchange-Traded FD	A	Dividend	J	T					
19. BROKERAGE ACCOUNT #4 IRA (H)									
20. Key Bank-cash, money markets, FDIC deposits	A	Int./Div.	J	T					
21. Russell Global Equity Fund Class S	A	Dividend			Sold	11/14/19	J	A	
22. Russell US Strategic Equity Fund	A	Dividend	J	T	Sold (part)	11/01/19	J	A	
23.					Buy (add'l)	11/14/19	J		
24. Russell Emerging Markets Fund	A	Dividend	J	T	Buy (add'l)	01/14/19	J		
25. Russell Global Real Estate Securities Fund	A	Dividend	J	T	Sold (part)	11/14/19	J	A	
26. Russell Opportunistic Credit Fund	A	Dividend	J	T	Buy (add'l)	11/14/19	J		
27.					Sold (part)	11/01/19	J	A	
28. Russell Commodity Strategies Fund	A	Dividend	J	T	Buy (add'l)	11/01/19	J		
29.					Sold (part)	11/14/19	J	A	
30. Russell Strategic Bond Fund	A	Dividend	J	T	Buy (add'l)	11/14/19	J		
31.					Sold (part)	11/01/19	J	A	
32. Russell International Developed Markets Fund	A	Dividend	J	T	Buy (add'l)	11/14/19	J		
33.					Sold (part)	11/01/19	J	A	
34. Russell US Small Cpa Equity Fund	A	Dividend	J	T	Buy (add'l)	11/01/19	J		

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35.						Buy (add'l)	11/14/19	J		
36.	Russell Multi Asset Growth Strategy Fund	A	Dividend	J	T	Sold (part)	11/14/19	J	A	
37.	Russell Unconstrained Total Return Fund	A	Dividend			Sold	11/14/19	J	A	
38.	INSURANCE POLICIES (H)									
39.	Mass Mutual	C	Dividend	L	V					
40.	Mass Mutual	B	Dividend	K	V					
41.	Mass Mutual	A	Dividend	J	V					
42.										

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

Section VII, line 42 and 43 from December 31, 2018 related to a bank account held by Judge Scullin [redacted] In 2019 [redacted] is no longer claimed as a dependent on his personal tax return.

Section VII, lines 39 through 41, column C2,-Value Method-Other-cash surrender values pursuant to insurance company contracts

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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/ Frederick J. Scullin

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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