

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) Sharpe, Gary L.	2. Court or Organization U.S. District Court, NDNY	3. Date of Report 04/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address James T. Foley Courthouse 445 Broadway Albany, New York 12207		
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.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sharpe, Gary L.

Date of Report

04/04/2020

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.		
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. 2019	Howard Hanna Real Estate - Independent Contractor - Commissions
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.				

Name of Person Reporting	Date of Report
Sharpe, Gary L.	04/04/2020

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.		
2.		
3.		
4.		
5.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. New York College Tuition Savings #1 (529) (H)	A	Dividend	K	T					
2. -Vanguard Aggressive Age-Based Growth Fund	A	Dividend	K	T	Buy (add'l)	01/01/19	J		
3.					Buy (add'l)	02/01/19	J		
4.					Buy (add'l)	03/01/19	J		
5.					Buy (add'l)	04/01/19	J		
6.					Buy (add'l)	05/01/19	J		
7.					Buy (add'l)	06/01/19	J		
8.					Buy (add'l)	07/01/19	J		
9.					Buy (add'l)	08/01/19	J		
10.					Buy (add'l)	09/01/19	J		
11.					Buy (add'l)	10/01/19	J		
12.					Buy (add'l)	11/01/19	J		
13.					Buy (add'l)	12/01/19	J		
14. New York College Tuition Savings #2 (529) (H)	A	Dividend	J	T					
15. -Vanguard Aggressive Age-Based Growth Fund	A	Dividend	J	T	Buy (add'l)	01/01/19	J		
16.					Buy (add'l)	02/01/19	J		
17.					Buy (add'l)	03/01/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	04/01/19	J		
19.					Buy (add'l)	05/01/19	J		
20.					Buy (add'l)	06/01/19	J		
21.					Buy (add'l)	07/01/19	J		
22.					Buy (add'l)	08/01/19	J		
23.					Buy (add'l)	09/01/19	J		
24.					Buy (add'l)	10/01/19	J		
25.					Buy (add'l)	11/01/19	J		
26.					Buy (add'l)	12/01/19	J		
27. Sun Trust IRA (H)									
28. -Hartford Mid Cap Fd Class I ("HFMIX")	A	Dividend			Sold	03/27/19	J	A	
29. -American Europacific Growth Fund Cl F2 ("AEPFX")	A	Dividend			Sold	03/27/19	K	A	
30. -AT & T Inc Common ("T")	A	Dividend	J	T					
31. -Coming Inc Common ("GLW")	A	Dividend	J	T					
32. -Helmerich & Payne Inc Common ("HP")	A	Dividend			Sold	09/18/19	J	A	
33. - KLA-Tencor Corp Common ("KLAC")	A	Dividend	J	T					
34. -Home Depot Inc Common ("HD")	A	Dividend	J	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. -INTL Paper Co Common ("IP")	A	Dividend			Sold	06/19/19	J	A	
36. -US Bancorp Del Common ("USB")	A	Dividend	J	T	Sold (part)	01/04/19	J	A	
37. -Lydondellbasel Industries N V Common ("LYB")	A	Dividend			Sold	06/19/19	J	A	
38. -Genuine Parts Co Common ("GPC")	A	Dividend			Sold	05/02/19	J	A	
39. -Crown Castle INTL Corp Common ("CCI")	A	Dividend	J	T					
40. -Chevron Corp Common ("CVX")	A	Dividend	J	T					
41. -Johnson & Johnson Common ("JNJ")	A	Dividend	J	T					
42. -Raytheon Co Common ("RTN")	A	Dividend	J	T					
43. -Pizer Inc Common ("PFE")	A	Dividend			Sold	09/05/19	J	A	
44. -Tapestry Inc Common ("TPR")	A	Dividend			Sold	04/17/19	J	A	
45. -3M Company Common ("MMM")	A	Dividend	J	T					
46. -Wells Fargor Co Common ("WFC")	A	Dividend	J	T					
47. -Digital RLTY TR Inc Common ("DLR")	A	Dividend	J	T					
48. -Duke Energy Corp New Common ("DUK")	A	Dividend			Sold	12/17/19	J	A	
49. -Occidental Petroleum Corp Common ("OXY")	A	Dividend			Sold	04/17/19	J	A	
50. -Total S A Sponsored ADR ("TOT")	A	Dividend	J	T					
51. -Abbvie Inc Common ("ABBV")	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 =\$250,001 - \$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	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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52. -Amgen Inc Common ("AMGN")	A	Dividend	J	T					
53. -Apple Inc Common ("AAPL")	A	Dividend	J	T					
54. -Blackrock Inc Common ("BLK")	A	Dividend	J	T					
55. -CMS Energy Corp Common ("CMS")	A	Dividend	J	T					
56. -Intel Corp Common ("INTC")	A	Dividend	J	T					
57. -Nextera Energy Inc Common ("NEE")	A	Dividend	J	T					
58. -Pepsico Inc Common ("PEP")	A	Dividend	J	T	Sold (part)	01/04/19	J	A	
59. -Verizon Communications Common ("VZ")	A	Dividend	J	T					
60. -Eaton Corp PLC Common ("ETN")	A	Dividend	J	T					
61. -CME Group Inc Common ("CME")	A	Dividend	J	T					
62. -Dowdupont Inc Common ("DWDP")	A	Dividend	J	T	Sold (part)	01/04/19	J	A	
63. -Cysco Sys Inc Common ("CSCO")	A	Dividend	J	T					
64. -JP Morgan Chase & Co Common ("JPM")	A	Dividend	J	T	Sold (part)	01/04/19	J	A	
65. --Microsoft Corp Common ("MSFT")	A	Dividend	J	T	Sold (part)	01/04/19	J	A	
66.					Sold (part)	04/05/19	J	A	
67. -Merck & Co Inc New Common ("MRK")	A	Dividend	J	T					
68. -Union Pacific Corp Common ("UNP")	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 =\$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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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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	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. -Vanguard BD Index Fd Inc Intermediate Term Bd ETF ("BIV")	A	Dividend	K	T	Sold (part)	01/04/19	J	A	
70. -Delta Airlines Inc Del Common ("DAL")	A	Dividend			Sold	04/09/19	J	A	
71. -Schlumberger Limited Common ("SLB")	A	Dividend	J	T					
72. -Hartford Mid Cap Fd Class I ("HFMIX")	A	Dividend	J	T					
73. -Broadcom Limited Common ("AVGO")	A	Dividend	J	T					
74. -Russell 2000 Growth ETF ("IWO")	A	Dividend	J	T					
75. -United Parcel Svc Inc Class B ("UPS")	A	Dividend	J	T					
76. -Sysco Corp Common ("SSY")	A	Dividend	J	T	Buy (add'l)	05/02/19	J		
77. -American Europacific Growth Fund Cl F3 ("FEUPX")	A	Dividend	J	T	Buy	03/27/19	K		
78. -Hartford Midcap Fund Cl F ("HMDFX")	A	Dividend	J	T	Buy	03/27/19	J		
79. -Comcast Corp New Cl A ("CMCSA")	A	Dividend	J	T	Buy	04/05/19	J		
80.					Buy (add'l)	05/02/19	J		
81. -Boeing Co Common ("BA")	A	Dividend	J	T	Buy	04/09/19	J		
82. -Chevron Corp New Common ("CVX")	A	Dividend	J	T	Buy	04/17/19	J		
83. - Target Corp Common ("TGT")	A	Dividend	J	T	Buy	04/17/19	J		
84.					Buy (add'l)	06/26/19	J		
85. -Honeywell International Inc Common ("HON")	A	Dividend	J	T	Buy	06/19/19	J		

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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	(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)
86. -Corteva Inc Common ("CTVA")	A	Dividend	J	T	Buy	06/26/19	J		
87. -Dow Inc Common ("DOW")	A	Dividend	J	T	Buy	06/26/19	J		
88. -Novartis AG Sponsored ADR ("NVS")	A	Dividend	J	T	Buy	09/05/19	J		
89. -Outfront Media Inc Common ("OUT")	A	Dividend	J	T	Buy	09/18/19	J		
90. -American Elec Pwr Co Inc Common ("AEP")	A	Dividend	J	T	Buy	12/17/19	J		
91. New York College Tuition Savings #3 (529R) (H) (X)	A	Dividend	J	T					
92. -Vanguard Aggressive Age-Based Growth Fund	A	Dividend	J	T	Buy (add'l)	01/01/19	J		
93.					Buy (add'l)	02/01/19	J		
94.					Buy (add'l)	03/01/19	J		
95.					Buy (add'l)	04/01/19	J		
96.					Buy (add'l)	05/01/19	J		
97.					Buy (add'l)	06/01/19	J		
98.					Buy (add'l)	07/01/19	J		
99.					Buy (add'l)	08/01/19	J		
100.					Buy (add'l)	09/01/19	J		
101.					Buy (add'l)	10/01/19	J		
102.					Buy (add'l)	11/01/19	J		

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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103.					Buy (add'l)	12/01/19	J		
104. New York College Tuition Savings #4 (529N) (H) (X)	A	Dividend	J	T					
105. -Vanguard Aggressive Age-Based Growth Fund	A	Dividend	J	T	Buy (add'l)	01/01/19	J		
106.					Buy (add'l)	02/01/19	J		
107.					Buy (add'l)	03/01/19	J		
108.					Buy (add'l)	04/01/19	J		
109.					Buy (add'l)	05/01/19	J		
110.					Buy (add'l)	06/01/19	J		
111.					Buy (add'l)	07/01/19	J		
112.					Buy (add'l)	08/01/19	J		
113.					Buy (add'l)	09/01/19	J		
114.					Buy (add'l)	10/01/19	J		
115.					Buy (add'l)	11/01/19	J		
116.					Buy (add'l)	12/01/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting Sharpe, Gary L.	Date of Report 04/04/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sharpe, Gary L.

Date of Report

04/04/2020

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/ Gary L. Sharpe

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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One Columbus Circle, N.E.
Washington, D.C. 20544