

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 04/07/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.	

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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. 2016

Realty USA - 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.)*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.)*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. New York College Tuition Savings # 1 (529)	A	Dividend	K	T					
2. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	01/01/16	J		
3.					Buy (add'l)	02/01/16	J		
4.					Buy (add'l)	03/01/16	J		
5.					Buy (add'l)	04/01/16	J		
6.					Buy (add'l)	05/01/16	J		
7.					Buy (add'l)	06/01/16	J		
8.					Buy (add'l)	07/01/16	J		
9.					Buy (add'l)	08/01/16	J		
10.					Buy (add'l)	09/01/16	J		
11.					Buy (add'l)	10/01/16	J		
12.					Buy (add'l)	11/01/16	J		
13.					Buy (add'l)	12/01/16	J		
14. New York College Tuition Savings #2 (529)	A	Dividend	J	T					
15. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	01/01/16	J		
16.					Buy (add'l)	02/01/16	J		
17.					Buy (add'l)	03/01/16	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)

18.					Buy (add'l)	04/01/16	J		
19.					Buy (add'l)	05/01/16	J		
20.					Buy (add'l)	06/01/16	J		
21.					Buy (add'l)	07/01/16	J		
22.					Buy (add'l)	08/01/16	J		
23.					Buy (add'l)	09/01/16	J		
24.					Buy (add'l)	10/01/16	J		
25.					Buy (add'l)	11/01/16	J		
26.					Buy (add'l)	12/01/16	J		
27.	Edward Jones IRA #1; F/Known as Excel Securities IRA #2)	A	Dividend	M	T				
28.	-Facebook Inc Common ("FB")				Sold	01/08/16	K	A	
29.	-Gilead Sciences Inc Common ("GILD")				Sold	09/27/16	K	A	
30.	-Celldex Therapeutics Inc New ("CLDX")				Sold	01/08/16	J	A	
31.	-Biotechnology Index Fund				Buy	01/22/16	K		
32.					Sold	02/23/16	K	A	
33.	-Monster Beverage Corp Common ("MNST")				Buy	01/26/16	K		
34.					Sold	03/11/16	K	A	

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35. -Invesco Diversified Dividend Fund Cl A ("LCEAX")					Buy	06/16/16	L		
36. -Invesco Comstock Fund Cl A ("ACSTX")					Buy	09/27/16	K		
37. -Regeneron Pharmaceuticals Inc Common ("REGN")					Buy	03/11/16	K		
38.					Buy (add'l)	04/26/16	J		

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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/ 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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