

20-10 (rev.
Rev. 8/95)

COPY

FINANCIAL DISCLOSURE REPORT

Nomination Report

 Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
§ U.S.C. App. 4, Sec. 101-112

1. Person Reporting (Last name, first, middle initial) Pooler, Rosemary S.		2. Court or Organization USDC-Northern District of NY	3. Date of Report 11/10/1997
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Cir. Ct. Judge Nominee		5. Report Type (check type) ☒ Nomination, Date 11/06/1997 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/1996 11/06/1997
7. Chambers or Office Address P.O. Box 7395 100 South Clinton Street Syracuse, New York 13261-7395		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on the last page.

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

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Member, Board of Directors	Loretto
2 Member, Board of Trustees	YWCA
3	

II. AGREEMENTS (Reporting individual only; see pp. 14-17 of instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1	Member-New York State Employees Retirement System
2	
3	

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 18-25 of instructions.)

DATE	PARTIES AND TERMS	GROSS INCOME (year, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 1995	NYS Employees Retirement System-pension	\$ 30,600.00
2 1995	NYS Deferred Compensation Savings Plan	\$ 5,522.64
3 11/97	Syracuse University salary (\$)	
4 11/97	NYS Employees Retirement Sys.-pension(\$30,600/yr)	\$ 58,650.00
5 11/97	NYS Deferred Compensation Savings Plan	\$ 12,990.77

ATTACHMENT II-1

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IV. REIMBURSEMENTS and GIFTS - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp. 26-29 of Instructions.)

☐ NONE (No such reportable reimbursements or gifts)	SOURCE	DESCRIPTION
¹	Exempt	
²		
³		
⁴		
⁵		
⁶		
⁷		

V. OTHER GIFTS

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp. 26-29 of Instructions.)

☐ NONE (No such reportable gifts)	SOURCE	DESCRIPTION	VALUE
¹	Exempt		
²			
³			
⁴			

VI. LIABILITIES

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parentheticals "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 24-26 of Instructions.)

☐ NONE (No reportable liabilities)	CREDITOR	DESCRIPTION	VALUE CODE*
¹	Fulton Savings Bank (J)	Mortgage, Syracuse, NY Property #1	J
²	Fulton Savings Bank (J)	Mortgage, Syracuse, NY Property #2	J
³			
⁴			
⁵			
⁶			
⁷			

* VAL CODES: J - \$15,000 or less K - \$15,001 - \$50,000 L - \$50,001 to \$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 - \$50,000,001 or more

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VII. Page 1 INVESTMENTS and TRUSTS

- income, value, transactions (includes those of spouse and dependent children. See pp. 37-54 of Instructions.)

A. Description of Asset <i>Indicate where applicable, owner of the asset by using the parenthetical "(D)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(EQ)" for ownership by dependent child. Place "(EQ)" after each asset except from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period							
	(1) Amt. Code (A-J)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, margin, redemption)	If not exempt from disclosure						
						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)			
☐ NONE (no reportable income, assets, or transactions)												
1 Lakeview Rd., Westport, NY - land and trailer (S)	A	Rent	J	W	Exempt							
2 317 W. Fayette Partnership	A	Rent	J	T								
3 Onondaga County, Syracuse, NY (S)	A	Rent	L	W	Exempt							
4 Onondaga County, Syracuse, NY (S)	C	Rent	L	W	Exempt							
5 Onondaga County, Syracuse, NY (S)	B	Rent	L	W	Exempt							
6 Onondaga County, Syracuse, NY (S)	D	Rent	L	W	Exempt							
7 Onondaga County, Syracuse, NY (S)	C	Rent	L	W	Exempt							
8 5th (Freedom Funds) - Tucker, Anthony	A	Interst	K	T								
9 TIAA/CREF Retirement (S)	B	Interst	O	T								
10 Strong Short Term Bond Fund (J)	B	Interest	H	T								
11 Fidelity Growth Opportunity Fund	A	Bond	J	T								
12 T. Rowe Price - Mid-cap Growth Fund (J)	A	Bond	J	T	Exempt							
13 T. Rowe Price-SF Tax Free Fund	B	Interest	L	T	Exempt							
1 Val Code: A-\$1,000 or less	B-\$1,001-\$1,500		C-\$1,501-\$5,000		D-\$5,001-\$15,000		E-\$15,001-\$50,000					
(Cat. B1, D4) F-\$50,001-\$100,000	G-\$100,001-\$1,000,000		H-\$1,000,001-\$5,000,000		I-\$5,000,001 or more							
2 Val Code: F-\$15,000 or less	G-\$15,001-\$50,000		H-\$50,001-\$100,000		I-\$100,001-\$250,000		N-\$250,001-\$500,000					
(Cat. C1, D5) 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-\$50,000,001 or more					
3 Val Code: Q-Appraisal	R-Other (not estate only)		S-Assessment		T-Cash/Market							
(Cat. C2) U-Bank Value	V-Other		W-Estimated									

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

☒ NONE (No additional information or explanations.)

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IX. CERTIFICATION

In compliance with the provisions of 28 U.S.C. 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature Rosemary S. PoolerDate 11-10-97

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. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	9 770	Notes payable to banks—secured	
U.S. Government securities—add schedule		Notes payable to banks—unsecured	
Listed securities—add schedule ("A")	182 349	Notes payable to relatives	
Unlisted securities—add schedule ("B")	5 000	Notes payable to others	
Accounts and notes receivable:		Accounts and bills due	2 795
Due from relatives and friends		Unpaid income tax	
Due from others		Other unpaid tax and interest	
Duehold		Real estate mortgages payable—add schedule ("C")	158 813
Real estate owned—add schedule ("C")	495 000	Chattel mortgages and other loans payable	
Real estate mortgages receivable	10 440	Other debts—liabilities	
Automobile and other personal property	65 000		
Cash value—life insurance			
Other assets—liabilities: (Schedule "b")	630 063		
		Total Liabilities	161 608
		Net Worth	1,236 254
Total Assets	1,397 862	Total Liabilities and net worth	1,397 862
CONTINGENT LIABILITIES		GENERAL INFORMATION	
As co-maker, cosigner or guarantor (Schedule "E")	13 131	Are any assets pledged? (Add schedule.)	NO
On leases or contracts		Are you defendant in any suits or legal actions? *	NO
Legal Claims		Have you ever taken bankruptcy?	NO
Provisions for Federal Income Tax			
Other special debts			

* None affecting net worth suits pending relate to official capacity matters only