

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) Crotty, Paul A.	2. Court or Organization U.S. District Court (S.D.N.Y.)	3. Date of Report 07/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior - Effective 8/1/2015)	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 500 Pearl Street Room 1350 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.)

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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Name of Person Reporting

Crotty, Paul A.

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. Jan-May'19	(Spouse) George Arzt Communications - Salary
2. Sep-Dec'19	(Spouse) Waterside Development Corp. - Salary
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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Crotty, Paul A.	07/06/2021

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.		

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Name of Person Reporting

Crotty, Paul A.

Date of Report

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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)
1. AMEX	A	Dividend	L	T					
2. Ameriprise Fin'l Inc.	A	Dividend	K	T					
3. Apple Inc.	A	Dividend	K	T					
4. Coca Cola	B	Dividend	L	T					
5. Duke Energy Corp.	A	Dividend	K	T					
6. Exxon Mobil	A	Dividend	K	T					
7. General Electric	A	Dividend			Sold	02/08/19	J	A	
8. Dollar General	A	Dividend	J	T	Buy	01/13/19	J		
9. Spectra Energy Corp.	A	Dividend	K	T					
10. Stryker Corp.	A	Dividend	K	T					
11. Teva Pharmaceuticals	A	Dividend	J	T					
12. United Health Care	A	Dividend	L	T					
13. Norbelle LLC		None			Closed	04/15/19			
14. Walt Disney	A	Dividend	K	T	Buy	02/06/19	J		
15. Accelerate Diagnostics		None	K	T					
16. Dreyfus Institutional Treasury	A	Dividend	L	T					
17. Bristol-Myers Squibb	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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. Ford Motor	A	Dividend	J	T					
19. Eaton Corp.	A	Dividend	J	T	Buy	04/15/19	J		
20. Alphabet Inc. Class 1		None	J	T					
21. Consolidated IRA (H)									
22. - Abbott Laboratories	A	Dividend	J	T					
23. - Adobe		Dividend			Sold	04/23/19	J		
24. - Alphabet Inc. Class C		None	J	T					
25. - Amazon		None	K	T					
26. - Becton Dickinson	A	Dividend	J	T					
27. - Berkshire Hathaway	A	Dividend	J	T					
28. - BNSF	A	Interest	K	T					
29. - Boeing		Dividend			Sold	09/10/19	J		
30. - Caterpillar	A	Dividend	K	T					
31. - J.P. Morgan Chase	A	Dividend	J	T					
32. - Cheniere Energy	A	Dividend	J	T					
33. - Cisco Systems	A	Dividend	J	T					
34. - Conoco Phillips	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

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Name of Person Reporting

Crotty, Paul A.

Date of Report

07/06/2021

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

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35. - Continental Resources	A	Dividend	J	T					
36. - Costco	A	Dividend	K	T					
37. - Covidien International Finance	A	Interest	K	T					
38. - Crown Castle	A	Dividend	K	T	Buy	12/14/19	K		
39. - Disney Walt	A	Dividend	K	T					
40. - Edwards Lifesciences	A	Dividend	J	T					
41. - Facebook		None	J	T					
42. - Home Depot	A	Dividend	K	T					
43. - Honeywell	A	Dividend	K	T					
44. - Eli Lilly	A	Dividend	J	T					
45. - McDonalds	A	Dividend	K	T					
46. - Medtronics	A	Dividend	J	T					
47. - Microsoft	A	Dividend	K	T					
48. - Phillips 66	A	Dividend	J	T					
49. - Pioneer Natural Resources	A	Dividend	K	T					
50. - Raytheon	A	Dividend	K	T					
51. - Sherwin Williams	A	Dividend	J	T					

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52. - Stryker	A	Dividend	K	T					
53. - Suntrust	A	Dividend	J	T					
54. - United Health	A	Dividend	J	T					
55. - U.S. Bankcorp	A	Dividend	J	T					
56. - Visa Inc.	A	Dividend	K	T					
57. - Vulcan Materials	A	Dividend	J	T					
58. - Waste Management	A	Dividend	K	T					
59. - Zoetis	A	Dividend	J	T					
60. - Honeywell Int'l Bond	A	Interest			Redeemed	10/30/19	K		
61. - Pepsico Bond	B	Interest	K	T					
62. - Apple Inc. Bond	A	Interest	K	T					
63. - Federal Home Loan Bond	B	Interest	K	T					
64. - Medtronic Bond	B	Interest	K	T					
65. - Con Edison Bond	B	Interest			Redeemed	04/01/19	K		
66. - Phillip Morris Bond	B	Interest	K	T					
67. - Total Capital SA Bond	B	Interest	K	T					
68. - Praxair Bond	A	Interest	K	T					

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69. - General Dynamics Bond	B	Interest	K	T					
70. - Comcast Bond	B	Interest	K	T					
71. - U.S. Treasury Notes	A	Interest	K	T					
72. - TVA Bond	A	Interest	K	T					
73. - Novartis Bond	A	Interest	K	T					
74. - Cisco Bond	B	Interest	K	T					
75. - Dreyfus Financial	A	Dividend	J	T					
76. - John Deere	A	Interest	K	T					

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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	
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Name of Person Reporting Crotty, Paul A.	Date of Report 07/06/2021
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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/ **Paul A. Crotty**

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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Washington, D.C. 20544