AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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)	04/22/2021
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	01/01/2020 **to** 12/31/2020
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.	2020	NYS & Local employees retirement system --lifetime
2.		
3.		

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/22/2021

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.	2020	NYS & local employees retirement system-lifetime	$7,710.00
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.					

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/22/2021

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.	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.	04/22/2021

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. Blackrock Global Allocation Fund Inc.	A	Dividend	J	T					
3. Lord Abbett Fundamental Equity Fund Class A	A	Dividend	L	T					
4. DWS NY Tax Free Income Fund Class C	A	Int./Div.	J	T					
5. IShares Gold Trust		None	K	T					
6. BROKERAGE ACCOUNT #2 IRA (H)									
7. Key Bank-cash,, money markets, FDIC deposits	A	Interest	J	T					
8. The Merger Fund Investor Class	A	Dividend	J	T					
9. Pimco All Asset All Authority Fund	A	Dividend	J	T					
10. Pimco Income Fund Class A	A	Dividend	J	T					
11. Invesco Exchange-Traded FD	A	Dividend	J	T					
12. BROKERAGE ACCOUNT #3 IRA (H)									
13. Key Bank-cash, money markets, FDIC deposits	A	Interest	J	T					
14. The Merger Fund Investor Class	A	Dividend	J	T					
15. Pimco All Asset All AuthorityFund	A	Dividend	J	T					
16. Pimco Income Fund Class A	A	Dividend	J	T					
17. Invesco Exchange-Traded FD	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		

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/22/2021

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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18. BROKERAGE ACCOUNT #4 IRA (H)									
19. Key Bank-cash, money markets, FDIC deposits	A	Int./Div.	J	T					
20. Russell US Strategic Equity Fund	A	Dividend			Sold	08/25/20	J	A	
21. Russell Emerging Markets Fund	A	Dividend			Sold	08/25/20	J	A	
22. Russell Global Real Estate Securities Fund	A	Dividend			Sold	08/25/20	J	A	
23. Russell Opportunistic Credit Fund	A	Dividend			Sold	08/25/20	J	A	
24. Russell Commodity Strategies Fund	A	Dividend			Sold	08/25/20	J	A	
25. Russell Strategic Bond Fund	A	Dividend			Sold	08/25/20	K	A	
26. Russell International Developed Markets Fund	A	Dividend			Sold	08/25/20	J	A	
27. Russell US Small Cap Equity Fund	A	Dividend			Sold	08/25/20	J	A	
28. Russell Multi Asset Growth Strategy Fund	A	Dividend			Sold	08/25/20	J	A	
29. Vanguard Bd Index Fds-LT Bd ETF	A	Dividend	J	T	Buy	08/25/20	J		
30.					Sold (part)	11/10/20	J	A	
31. Vanguard Bd Index Fds-Intermediate term ETF	A	Dividend	J	T	Buy	08/25/20	J		
32. Vanguard Bd Index Fds-Short term Bd ETF	A	Dividend	J	T	Buy	08/25/20	J		
33.					Sold (part)	11/10/20	J	A	
34. Vanguard Intl Fund--FTSE Developed mkts ETF	A	Dividend	J	T	Buy	08/25/20	J		

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35.					Sold (part)	11/10/20	J	A	
36. Vanguard Charlotte Fd.-Total int'l Bd ETF	A	Dividend	J	T	Buy	08/25/20	J		
37.					Sold (part)	11/10/20	J	A	
38. Vanguard Intl Equity Index Fts-FTSE emerging Markets ETF	A	Dividend	J	T	Buy	08/25/20	J		
39.					Sold (part)	10/23/20	J	A	
40.					Sold (part)	11/10/20	J	A	
41. Vanguard Scottsdale Fd-Mtg Backed Secs ETF	A	Dividend	J	T	Buy	08/25/20	J		
42.					Sold (part)	11/10/20	J	A	
43. Vanguard Index Fds-Vanguard Growth ETF	A	Dividend	J	T	Buy	08/25/20	J		
44.					Sold (part)	11/10/20	J	A	
45. Vanguard Index Fds-Vanguard Value ETF	A	Dividend	J	T	Buy	08/25/20	J		
46.					Sold (part)	11/10/20	J	A	
47. Vanguard Index Fds- Vanguard small cap ETF	A	Dividend	J	T	Buy	08/25/20	J		
48.					Sold (part)	10/23/20	J	A	
49. BROKERAGE ACCOUNT #5 (H)- Brighthouse Shield Level Annuity									
50. S&P 500 index step rate		None	J	T	Buy	09/17/20	J		
51. MSCI EAFE Index		None	J	T	Buy	09/17/20	J		

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52. Russell 200 Index		None	J	T	Buy	09/17/20	J		
53. S&P 500 Index		None	K	T	Buy	09/17/20	K		
54. INSURANCE POLICIES (H)									
55. Mass Mutual	C	Dividend	L	V					
56. Mass Mutual	B	Dividend	K	V					
57. Mass Mutual	A	Dividend	J	V					
58.									

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

Section VII, lines 55, 56 and 57, column C2,-Value Method-Other-cash surrender values pursuant to insurance company contracts

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/22/2021

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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