

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) Sharpe, Gary L.	2. Court or Organization U.S. District Court, NDNY	3. Date of Report 04/21/2021
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 01/01/2020 to 12/31/2020
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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Name of Person Reporting

Sharpe, Gary L.

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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.)*

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. 2020	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.				

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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

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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) (H)									
2. -Vanguard Aggressive Age-Based Growth Fund	A	Dividend	J	T	Buy (add'l)	01/01/20	J		
3.					Buy (add'l)	02/01/20	J		
4.					Buy (add'l)	03/01/20	J		
5.					Buy (add'l)	04/01/20	J		
6.					Buy (add'l)	05/01/20	J		
7.					Buy (add'l)	06/01/20	J		
8.					Sold (part)	06/15/20	J	D	
9.					Buy (add'l)	07/01/20	J		
10.					Buy (add'l)	08/01/20	J		
11.					Buy (add'l)	09/01/20	J		
12.					Buy (add'l)	10/01/20	J		
13.					Buy (add'l)	11/01/20	J		
14.					Sold (part)	11/27/20	J	C	
15.					Buy (add'l)	12/01/20	J		
16. New York College Tuition Savings #2 (529) (H)									
17. -Vanguard Aggressive Age-Based Growth Fund	B	Dividend	K	T	Buy (add'l)	01/01/20	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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☐ 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)	02/01/20	J		
19.					Buy (add'l)	03/01/20	J		
20.					Buy (add'l)	04/01/20	J		
21.					Buy (add'l)	05/01/20	J		
22.					Buy (add'l)	06/01/20	J		
23.					Buy (add'l)	07/01/20	J		
24.					Buy (add'l)	08/01/20	J		
25.					Buy (add'l)	09/01/20	J		
26.					Buy (add'l)	10/01/20	J		
27.					Buy (add'l)	11/01/20	J		
28.					Buy (add'l)	12/01/20	J		
29. Sun Trust IRA (H)									
30. -AT & T Inc Common ("T")	A	Dividend	J	T					
31. -Coming Inc Common ("GLW")	A	Dividend			Sold	12/16/20	J	A	
32. - KLA-Tencor Corp Common ("KLAC")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
33. -Home Depot Inc Common ("HD")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
34. -US Bancorp Del Common ("USB")	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 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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	(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)
35. -Crown Castle INTL Corp Common ("CCI")	A	Dividend	J	T					
36. -Chevron Corp Common ("CVX")	A	Dividend	J	T	Buy (add'l)	12/16/20	J		
37. -Johnson & Johnson Common ("JNJ")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
38. -Raytheon Technologies Corp Common ("RTX")(formerly "RTN")	A	Dividend	J	T					
39. -3M Company Common ("MMM")	A	Dividend			Sold	02/14/20	J	A	
40. -Wells Fargo Co Common ("WFC")	A	Dividend			Sold	05/14/20	J	A	
41. -Digital RLTY TR Inc Common ("DLR")	A	Dividend	J	T	Buy (add'l)	05/14/20	J		
42. -Total S A Sponsored ADR ("TOT")	A	Dividend	J	T					
43. -Abbvie Inc Common ("ABBV")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
44. -Amgen Inc Common ("AMGN")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
45. -Apple Inc Common ("AAPL")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
46.					Sold (part)	12/16/20	J	A	
47. -Blackrock Inc Common ("BLK")	A	Dividend	J	T					
48. -CMS Energy Corp Common ("CMS")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
49. -Intel Corp Common ("INTC")	A	Dividend	J	T					
50. -Nextera Energy Inc Common ("NEE")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
51. -Pepsico Inc Common ("PEP")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	

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	
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52. -Verizon Communications Common ("VZ")	A	Dividend	J	T					
53. -Eaton Corp PLC Common ("ETN")	A	Dividend	J	T					
54. -CME Group Inc Common ("CME")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
55. -Dowdupont Inc Common ("DWDP")	A	Dividend	J	T					
56. -Cysco Sys Inc Common ("CSCO")	A	Dividend			Sold	10/08/20	J	A	
57. -JP Morgan Chase & Co Common ("JPM")	A	Dividend	J	T	Sold (part)	05/14/20	J	A	
58. --Microsoft Corp Common ("MSFT")	A	Dividend	J	T	Sold (part)	05/14/20	J	A	
59.					Sold (part)	12/16/20	J	A	
60. -Merck & Co Inc New Common ("MRK")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
61. -Union Pacific Corp Common ("UNP")	A	Dividend	J	T					
62. -Vanguard BD Index Fd Inc Intermediate Term Bd ETF ("BIV")	A	Dividend	K	T	Buy (add'l)	02/10/20	J		
63. -Schlumberger Limited Common ("SLB")	A	Dividend			Sold	03/11/20	J	A	
64. -Hartford Mid Cap Fd Class I ("HFMIX")	A	Dividend	J	T					
65. -Broadcom Limited Common ("AVGO")	A	Dividend	J	T					
66. -Russell 2000 Growth ETF ("IWO")	A	Dividend	J	T	Sold (part)	02/10/20	J	A	
67. -United Parcel Svc Inc Class B ("UPS")	A	Dividend	J	T					
68. -Sysco Corp Common ("SSY")	A	Dividend			Sold	03/19/20	J	A	

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69. -American Europacific Growth Fund Cl F3 ("FEUPX")	A	Dividend	J	T					
70. -Hartford Midcap Fund Cl F ("HMDFX")	A	Dividend	J	T					
71. -Comcast Corp New Cl A ("CMCSA")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
72. -Boeing Co Common ("BA")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
73. -Chevron Corp New Common ("CVX")	A	Dividend	J	T					
74. - Target Corp Common ("TGT")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
75. -Honeywell International Inc Common ("HON")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
76. -Corteva Inc Common ("CTVA")	A	Dividend	J	T					
77. -Dow Inc Common ("DOW")	A	Dividend	J	T					
78. -Novartis AG Sponsored ADR ("NVS")	A	Dividend	J	T	Sold (part)	01/09/20	J	A	
79. -Outfront Media Inc Common ("OUT")	A	Dividend			Sold	05/14/20	J	A	
80. -American Elec Pwr Co Inc Common ("AEP")	A	Dividend	J	T					
81. -Emerson Electric Co Common ("EMR")	A	Dividend	J	T	Buy	01/30/20	J		
82.					Buy (add'l)	02/14/20	J		
83. -Cardinal Health Inc Common NPV ("CAH")	A	Dividend	J	T	Buy	03/11/20	J		
84. -Proctor & Gamble Co Common ("PG")	A	Dividend			Buy	03/19/20	J		
85.					Sold	12/16/20	J	A	

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	
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86. -Genuine Parts Co Common ("GPC")	A	Dividend	J	T	Buy	05/14/20	J		
87.					Buy (add'l)	10/08/20	J		
88. -Qualcomm Inc Common ("QCOM")	A	Dividend	J	T	Buy	10/08/20	J		
89. -Prudential Financial Inc Common ("PRU")	A	Dividend	J	T	Buy	12/16/20	J		
90. -Philip Morris International Inc Common NPV ("PM")	A	Dividend	J	T	Buy	12/16/20	J		
91. -Total SE Spon Ads EA Rep 1 Ordinary Shares ("TOT")	A	Dividend	J	T	Buy	12/16/20	J		
92. New York College Tuition Savings #3 (529R) (H)									
93. -Vanguard Aggressive Age-Based Growth Fund	B	Dividend	J	T	Buy (add'l)	01/01/20	J		
94.					Buy (add'l)	02/01/20	J		
95.					Buy (add'l)	03/01/20	J		
96.					Buy (add'l)	04/01/20	J		
97.					Buy (add'l)	05/01/20	J		
98.					Buy (add'l)	06/01/20	J		
99.					Buy (add'l)	07/01/20	J		
100.					Buy (add'l)	08/01/20	J		
101.					Buy (add'l)	09/01/20	J		
102.					Buy (add'l)	10/01/20	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
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103.					Buy (add'l)	11/01/20	J		
104.					Buy (add'l)	12/01/20	J		
105. New York College Tuition Savings #4 (529N) (H)									
106. -Vanguard Aggressive Age-Based Growth Fund	B	Dividend	J	T	Buy (add'l)	01/01/20	J		
107.					Buy (add'l)	02/01/20	J		
108.					Buy (add'l)	03/01/20	J		
109.					Buy (add'l)	04/01/20	J		
110.					Buy (add'l)	05/01/20	J		
111.					Buy (add'l)	06/01/20	J		
112.					Buy (add'l)	07/01/20	J		
113.					Buy (add'l)	08/01/20	J		
114.					Buy (add'l)	09/01/20	J		
115.					Buy (add'l)	10/01/20	J		
116.					Buy (add'l)	11/01/20	J		
117.					Buy (add'l)	12/01/20	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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sharpe, Gary L.

Date of Report

04/21/2021

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

Part VII, Lines 38: Raytheon Co Common ("RTN")(on the last report) was merged into Raytheon Technologies Corp Common ("RTX"). As I read the instructions, there was no reportable transaction.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sharpe, Gary L.

Date of Report

04/21/2021

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/ 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