

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Gardephe, Paul G.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 07/08/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge, active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. Courthouse 40 Foley Square 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board Member	Sunglow
2. Executor	Estate #1
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2003	with Time Warner Inc., regarding deferred compensation plan, Time Warner Savings Plan
2. 2008	with Patterson Belknap Webb & Tyler, LLP, regarding capital account and fees earned while a firm partner, and 401k, money purchase, and cash balance plans
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	New York Law School	\$6,750.00
2. 2015	Fordham Law School	\$2,500.02
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. 2015	Medshadow Foundation, wages
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.)*

<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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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. Dreyfus Basic Money Market Mutual Fund	A	Dividend	N	T					
2. Janus Research Fund	A	Dividend			Sold	02/04/15	J	C	
3. Apple Bank cert of deposit	A	Interest	K	T					
4. Neuberger Berman Int'l Equity Fund	A	Dividend	K	T					
5. Janus Enterprise Fund	A	Dividend			Sold	04/09/15	J	B	
6. Janus Research Fund	A	Dividend			Sold	02/04/15	J	B	
7. Janus Growth and Income Fund	B	Dividend	M	T	Sold (part)	04/09/15	J		
8. Janus Global Research Fund (f/k/a Janus Worldwide Fund)	A	Dividend			Sold	02/04/15	K		
9. Fidelity Magellan Fund	A	Dividend	K	T					
10. Neuberger Berman Large Cap Value Fund (f/k/a NB Partners Fund)		None	K	T					
11. Time Warner Savings Plan	A	Dividend	N	T					
12. -- Aggressive Growth Equity Fund									
13. -- Large Cap Value Fund									
14. -- Time Warner Stock Fund									
15. New York College Savings Plan (no control other than risk)		None	N	T					
16. -- Moderate Age-Based Option: Income Portfolio									
17. -- Aggressive Growth Portfolio									

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

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	(1) Amount Code I (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. Patterson Belknap Money Purchase Plan	D	Dividend	N	T					
19. -- Vanguard Institutional Index Fund									
20. -- Vanguard Growth and Income Fund									
21. -- Vanguard Windsor Fund									
22. Patterson Belknap Webb & Tyler 401k	D	Dividend	M	T					
23. -- Vanguard Institutional Index Fund									
24. -- Vanguard Growth & Income Fund									
25. -- Vanguard Windsor Fund									
26. Vanguard Tax Managed Capital Appreciation Fund	C	Dividend	M	T	Buy	02/03/15	M		
27. Vanguard 500 Index Fund	B	Dividend	M	T	Buy (add'l)	02/05/15	K		
28. Vanguard 500 Index Fund	A	Dividend	K	T	Buy	04/10/15	K		
29. Vanguard Developed Markets Index Fund	C	Dividend			Sold	02/03/15	M		
30. Vanguard Tax Managed Small Cap Fund	B	Dividend	M	T					
31. Vanguard Prime Money Market Fund	A	Dividend	L	T					
32. Northwestern Mutual Life ins. policy (cash value,no control)	B	Dividend	K	T					
33. Northwestern Mutual Life ins. policy (cash value,no control)	C	Dividend	K	T					
34. Northwestern Mutual Life ins. policy (cash value,no control)	C	Dividend	L	T					

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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35. Savings Bank Life ins. (cash value, no control)	A	Dividend	J	T					
36. Savings Bank Life ins. (cash value, no control)	A	Dividend	J	T					
37. Mutual of America Money Market Fund		None	J	T					
38. Estate #1	A	Interest	J	T					
39. -Accounts at Barre Savings Bank									
40. -CD at Spencer Savings Bank									

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

Note For Section VII, Item 7

Janus did not provide cost basis information for the gain, if any, associated with the partial sale of assets in the Janus Growth & Income Fund.

Note for Section VII, Item 12

I added this entry to my 2015 Report. It is not listed on earlier reports. The Time Warner Savings Plan is a 401(k) defined contribution plan. The Plan offers a wide variety of investment options. One "core" investment option is Agressive Growth Equity. A portion of my Time Warner Savings Plan account has been invested in that investment option since at least 2001. There were no buy, sell, or redemption transacions in this account in 2015. I added this investment option to my 2015 report because I concluded that the rules regardding the FDR could call for disclosure that a portion of the funds in my Time Warner Savings Plan account were invested in this investment option.

Note For Section VII, Item 30

Vanguard transferred my investment in the Vanguard Developed Markets Index Fund to the Vanguard Tax-Managed Capital Appreciation Fund.

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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 G. Gardephe**

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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