

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Pauley, William H.	2. Court or Organization Southern District of New York	3. Date of Report 11/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Courthouse 500 Pearl Street New York, NY 10007-1581		
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. Senior Board Member of Board of Visitors	Duke University School of Law
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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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. 2017	Self-Employed Licensed Real Estate Sales Person and Insurance Agent
2. 2017	Self-Employed Floral Designer
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. American University School of Law	January 26-27, 2017	Washington, D.C.	Conference	Travel, food, and lodging
2. Duke University School of Law	October 26-29, 2017	Durham, NC	Board of Visitors Meeting	Travel, food, and lodging
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. Mutual Funds									
2. PCRPX - PIMCO FDS COMMODITYREALRETURN STRATEGY P	A	Interest	J	T					
3.									
4. ANNUITIES									
5. PRUDENTIAL DISCOVERY PLUS, FIXED RATE ANNUITY	C	Interest	M	T					
6.									
7. CASH AND CASH EQUIVALENTS									
8. JP MORGAN CHASE	A	Interest	M	T	Buy (add'l)	07/17/17	P1		
9.					Sold (part)	11/29/17	O		
10. U.S. SAVINGS BONDS	A	Interest	J	T					
11. AXA FIN'L LIFE INS (CASH SURRENDER VALUE)	D	Dividend	N	T					
12. AXA FIN'L LIFE INS (CASH SURRENDER VALUE)	C	Dividend	M	T					
13. NEW YORK 529 COLL SVGS MOD AGE- BASED OPT: CONSERV GROWTH	A	Interest			Distributed (part)	1/5/2017	K		
14.					Distributed (part)	08/01/17	K		
15.					Distributed	12/15/17	K		
16.									

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 \$5,000,000	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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17. RETIREMENT ACCOUNTS									
18. 401K PLAN - FIDELITY FREEDOM K	A	Interest	K	T					
19. IRA SCUDDER - DWS CORE PLUS INCOME FUND	B	Interest	K	T					
20. IRA SCUDDER - DWS GLOBAL THEMATIC FUND	A	Interest	K	T					
21. VMMXX VANGUARD PRIME MONEY MARKET - ROTH IRA	A	Interest	K	T	Buy (add'l)	04/11/17	J		
22. VMMXX VANGUARD PRIME MONEY MARKET - ROTH IRA	A	Interest	K	T	Buy (add'l)	04/11/17	J		
23. VMMXX VANGUARD PRIME MONEY MARKET - TRADITIONAL IRA	A	Interest	L	T					
24. VMMXX VANGUARD PRIME MONEY MARKET - TRADITIONAL IRA	A	Interest	M	T					
25. VMMXX VANGUARD PRIME MONEY MARKET - SEP - IRA	A	Interest	K	T					
26.									
27.									
28.									

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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/ **William H. Pauley**

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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