

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) Crotty, Paul A.	2. Court or Organization U.S. District Court (S.D.N.Y.)	3. Date of Report 04/26/2016
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
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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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2015

(Spouse) George Arzt Communications - Salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. AMEX	B	Dividend	K	T					
2. Ameriprise Fin'l Inc.	A	Dividend	K	T					
3. Apple Inc.	A	Dividend	J	T					
4. Coca Cola	C	Dividend	L	T					
5. Duke Energy Corp.	B	Dividend	K	T					
6. Exxon Mobil	C	Dividend	L	T					
7. General Electric	A	Dividend	J	T					
8. Spectra Energy Corp.	A	Dividend	K	T					
9. Stryker Corp.	A	Dividend	K	T					
10. Teva Pharmaceuticals	A	Dividend	J	T					
11. United Health Care	A	Dividend	J	T					
12. Alliance Bernstein Capital	A	Interest	L	T					
13. Fidelity NY Muni Fund	A	Dividend	J	T					
14. Norbelle LLC		None	K	U					
15. New Entrepreneur Fund	D	Dividend	L	T					
16. Rollover IRA #1	D	Dividend	O	T					
17. - Artisan Int'l					Sold (part)	02/19/15	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 = \$250,000,001 - \$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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18. - Fidelity Low Priced Stock					Sold (part)	02/19/15	J		
19. - Baron Growth					Sold (part)	02/19/15	J		
20. - Baron Growth					Sold	07/21/15	K		
21. - Columbia Acorn Class Z					Sold (part)	02/19/15	J		
22. - Columbia Acorn Class Z					Sold	07/21/15	K		
23. - Columbia Acorn International Class Z					Sold (part)	02/19/15	J		
24. - Dodge & Cox Stock					Sold (part)	02/19/15	J		
25. - Harbor International					Sold (part)	02/19/15	J		
26. - Royce Premier					Sold	02/19/15	J		
27. - Fidelity Cash Reserves									
28. - Spartan 500 Index					Sold (part)	02/19/15	J		
29. - Oppenheimer Int'l Growth					Sold (part)	02/19/15	J		
30. - Allianz Agic High Yield					Sold (part)	02/19/15	J		
31. - Allianz Agic High Yield					Sold	07/21/15	K		
32. - AMG Yacktman					Buy	02/25/15	J		
33. - AMG Yacktman					Buy	10/26/15	J		
34. - AQR Managed					Buy	02/25/15	J		

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

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35. - AQR Managed					Buy	10/26/15	J		
36. - Arbitrage Fund					Buy	02/25/15	J		
37. - Arbitrage Fund					Buy	10/26/15	J		
38. - Calamos Market Neutral					Buy	02/25/15	J		
39. - Calamos Market Neutral					Buy	10/26/15	J		
40. - Columbia Acorn Select A					Buy	02/25/15	J		
41. - Columbia Acorn Select A					Buy	10/26/15	J		
42. - Driehaus Active					Buy	02/25/15	J		
43. - Driehaus Active					Buy	10/26/15	J		
44. - Forward Tactical Growth					Buy	02/25/15	J		
45. - Forward Tactical Growth					Buy	10/26/15	J		
46. - John Hancock Global					Buy	02/25/15	J		
47. - John Hancock Global					Buy	10/26/15	J		
48. - Loomis Sayles Bond Retail					Buy	02/25/15	J		
49. - Loomis Sayles Bond Retail					Buy	10/26/15	J		
50. - Mainstay High Yield					Buy	02/25/15	J		
51. - Mainstay High Yield					Buy	10/26/15	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Mainstay High Yield					Sold	12/10/15	J		
53. - Mainstay Marketfield					Buy	02/25/15	J		
54. - Mainstay Marketfield					Buy	10/26/15	J		
55. - Akre Focus					Buy	02/25/15	J		
56. - Akre Focus					Buy	10/26/15	J		
57. - Putnam Capital					Buy	02/25/15	J		
58. - Putnam Capital					Buy	10/26/15	J		
59. - Wasatch Long/Short					Buy	02/25/15	J		
60. - Wasatch Long/Short					Buy	10/26/15	J		
61. - Whitebox Tactical					Buy	02/25/15	J		
62. - Whitebox Tactical					Buy	10/26/15	J		
63. - Whitebox Tactical					Sold	12/10/15	J		
64. - AMG Times Square					Buy	10/26/15	J		
65. - Adirondack Small Cap					Buy	10/26/15	J		
66. - Edgewood Growth					Buy	10/26/15	K		
67. - Columbia Acorn International					Buy	10/26/15	J		
68. - G.S. Mid Cap					Buy	10/26/15	J		

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69. - G.S. Large Cap					Buy	10/26/15	K		
70. - Sound Shore					Buy	10/26/15	K		
71. - 1 Shares Core S&P 500 ETF					Buy	10/28/15	K		
72. - 1 Shares Core S&P Mid-Cap ETF					Buy	10/28/15	J		
73. - 1 Shares Core S&P Small-Cap ETF					Buy	10/28/15	J		
74. - 1 Shares MSCI Pacific Ex Japan					Buy	10/28/15	J		
75. - 1 Shares MSCI Japan ETF					Buy	10/28/15	J		
76. - 1 Shares MSCI S. Korea					Buy	10/28/15	J		
77. - 1 Shares S&P Midcap 400					Buy	10/28/15	J		
78. - 1 Shares S&P 500 Growth ETF					Buy	10/28/15	J		
79. - SPDR Ser Tr S&P Bank ETF					Buy	10/28/15	J		
80. - Vanguard International Equity					Buy	10/28/15	J		
81. - Wisdom Tree Trust Emerging					Buy	10/28/15	J		
82. - Wisdom Tree Trust Europe Hedged					Buy	10/28/15	J		
83. - Wisdom Tree Trust Japan					Buy	10/28/15	J		
84. Rollover IRA #2	E	Interest	P1	T					
85. - Honeywell Int'l Bond									

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86. - Walt Disney Bond									
87. - Oracle Bond									
88. - Kimberly Clark Bond									
89. - TVA Bond					Redeemed	06/15/15	K		
90. - Pepsico									
91. - Apple Inc.									
92. - Fidelity Cash Reserves									
93. - Anheuser Busch Bond									
94. - Merck & Co.					Redeemed	03/02/15	K		
95. - Federal Farm									
96. - Federal Home Loan									
97. - Pfizer & Co.									
98. - Medtronic					Buy	04/15/15	K		
99. - SBC									
100. - McDonald's									
101. - Con Edison									
102. - Wal-Mart									

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103. - Phillip Morris									
104. - Total Capital SA									
105. - General Electric									
106. - Praxair									
107. - General Dynamics									
108. - Comcast									
109. - U.S. Treasury Notes					Buy	06/13/15	K		
110. - TVA					Buy	12/04/15	K		
111. - Novartis					Buy	12/09/15	K		
112. - Cisco					Buy	12/28/15	K		

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544