

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 03/27/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief District Court Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.)*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. 2011

Realty USA - 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.)*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.)*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. New York College Tuition Savings # 1 (529)	A	Dividend	J	T	Buy (add'l)	01/01/11	J		
2. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	02/01/11	J		
3.					Buy (add'l)	03/01/11	J		
4.					Buy (add'l)	04/01/11	J		
5.					Buy (add'l)	05/01/11	J		
6.					Buy (add'l)	06/01/11	J		
7.					Buy (add'l)	07/01/11	J		
8.					Buy (add'l)	08/01/11	J		
9.					Buy (add'l)	09/01/11	J		
10.					Buy (add'l)	10/01/11	J		
11.					Buy (add'l)	11/01/11	J		
12.					Buy (add'l)	12/01/11	J		
13. New York College Tuition Savings #2 (529)	A	Dividend	J	T	Buy (add'l)	01/01/11	J		
14. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	02/01/11	J		
15.					Buy (add'l)	03/01/11	J		
16.					Buy (add'l)	04/01/11	J		
17.					Buy (add'l)	05/01/11	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P ~\$1,000,001 - \$5,000,000 P ~\$5,000,001 - \$25,000,000	M ~\$100,001 - \$250,000 P ~\$250,001 - \$500,000	P ~\$500,001 - \$1,000,000 P ~\$1,000,001 - \$5,000,000 P ~\$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.					Buy (add'l)	06/01/11	J		
19.					Buy (add'l)	07/01/11	J		
20.					Buy (add'l)	08/01/11	J		
21.					Buy (add'l)	09/01/11	J		
22.					Buy (add'l)	10/01/11	J		
23.					Buy (add'l)	11/01/11	J		
24.					Buy (add'l)	12/01/11	J		
25. Excel Securities IRA # 1	A	Dividend	J	T					
26. -John Hancock U.S. Global Leaders GrowFund Class A					Sold	04/11/11	J	A	
27. -Primerica Inc Common ("PRI")					Sold	04/11/11	J	A	
28. -Direxion Small Cap Bull ("TNA")					Sold	08/23/11	J	A	
29. -Direxion Commodity Bull ("DXCLX")					Buy	04/25/11	J		
30.					Sold (part)	07/20/11	J	A	
31. -Direxion Energy Bull 3X ("ERX")					Buy	08/26/11	J		
32. Excel Securities IRA #2		None	N	T					
33. -Apple Inc Common ("AAPL")					Buy (add'l)	07/20/11	K		
34.					Buy (add'l)	08/05/11	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	
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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35.					Buy (add'l)	11/10/11	J		
36. -Celgene Corp Common									
37. -John Hancock Large Cap Equity Fund Class A ("JLVIX")					Sold (part)	02/18/11	J	A	
38.					Sold (part)	06/10/11	K	A	
39.					Sold	09/06/11	J	A	
40. -Oppenheimer Gold & Special Minerals ("OPGSX") ("OPGSX")					Sold (part)	10/17/11	J	A	
41.					Sold (part)	10/27/11	J	A	
42.					Sold (part)	12/27/11	J	A	
43. -Oppenheimer Developing Markets Class A ("ODMAX")					Sold (part)	02/18/11	J	A	
44.					Sold (part)	04/11/11	J	A	
45.					Sold (part)	04/20/11	K	A	
46.					Sold	10/17/11	J	A	
47. -Pimco Total Return Class A ("PTTAX")					Sold (part)	01/28/11	J	A	
48.					Sold	03/25/11	J	A	
49. -Baidu Common ("BIDU")					Sold (part)	10/18/11	K	A	
50.					Sold	11/01/11	K	A	
51. -Bucyrus Common ("BUCY")					Sold	07/12/11	K	D	

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52. -Ford Common ("F")					Sold	05/25/11	K	A	
53. -Netapp Common ("NTAP")					Sold	04/06/11	K	A	
54. -American Strategic ("CSP")					Sold	03/30/11	K	A	
55. -Direxion Bull 2X ("DXCLX")					Sold (part)	08/09/11	K	A	
56.					Sold	10/03/11	J	A	
57. -Eaton vance tax managed ("EXG")					Sold	03/30/11	K	A	
58. -Matthews Asia ("MAPIX")					Sold	02/18/11	K	A	
59. -Annaly ("NLY")					Sold	07/26/11	K	A	
60. -SPDR Gold ("GLD")					Buy (add'l)	07/29/11	J		
61.					Buy (add'l)	08/08/11	J		
62.					Buy (add'l)	08/10/11	J		
63. -"FONE"					Buy	02/18/11	K		
64.					Sold	06/23/11	J	A	
65. -Mosaic Common ("MOS")					Buy	03/30/11	K		
66.					Sold	06/23/11	J	A	
67. -Potash Common ("POT")					Buy	03/30/11	K		
68.					Sold (part)	06/28/11	J	A	

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69.					Sold	08/08/11	J	A	
70. -Amazon Common ("AMZN")					Buy	11/02/11	K		
71. -Qualcomm Common ("QCOM")					Buy	11/03/11	J		
72. -Direxion Daily Bull 3X ("FAS")					Buy	04/11/11	J		
73.					Sold	04/27/11	J	A	
74. -Ishares Silver TR ("SLV")					Buy	04/11/11	K		
75.					Buy (add'l)	04/25/11	J		
76.					Buy (add'l)	08/01/11	J		
77.					Sold	09/30/11	K	A	
78. -Rare Element LTD ("REE")					Buy	04/11/11	J		
79.					Sold	06/06/11	J	A	
80. -Direxion Russia Bull 3X ("RUSL")					Buy	05/25/11	K		
81.					Sold (part)	08/04/11	K	A	
82.					Sold	08/09/11	J	A	
83. -Direxion Daily Finbal Bear 3X ("FAZ")					Buy	06/06/11	J		
84.					Buy (add'l)	06/10/11	J		
85.					Sold (part)	06/14/11	K	A	

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86.					Buy (add'l)	06/23/11	K		
87.					Sold	06/30/11	K	A	
88. -Direxion Daily China Bear 3X ("CZI")					Buy	06/10/11	J		
89.					Sold	06/14/11	J	A	
90. -Direxion Energy Bull 3X ("ERX")					Buy	06/15/11	J		
91.					Buy (add'l)	06/17/11	J		
92.					Sold (part)	06/23/11	J	A	
93.					Buy (add'l)	06/30/11	J		
94.					Sold (part)	08/04/11	J	A	
95.					Sold (part)	08/10/11	J	A	
96.					Buy (add'l)	08/22/11	J		
97.					Buy (add'l)	08/26/11	J		
98.					Sold	09/02/11	J	A	
99. -Direxion China Bull 2X ("DXHLX")					Buy	06/15/11	J		
100.					Sold (part)	08/09/11	J	A	
101.					Sold	09/15/11	J	A	
102. -Direxion Daily Technology Bull 3X ("TYH")					Buy	06/28/11	J		

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103.					Sold (part)	08/04/11	J	A	
104.					Sold (part)	08/08/11	J	A	
105.					Buy (add'l)	08/12/11	J		
106.					Sold (part)	08/18/11	J	A	
107.					Sold	09/06/11	J	A	
108. -Patterson-Uti Common ("PTEN")					Buy	06/30/11	K		
109.					Sold	08/10/11	J	A	
110. -AGCO Common ("AGCO")					Buy	10/27/11	J		
111.					Sold	11/23/11	J	A	
112. -Dunkin Brands Common ("DNKN")					Buy	07/28/11	J		
113.					Buy (add'l)	07/29/11	J		
114.					Sold	09/30/11	J	A	
115. -LDK Solar Common ("LDK")					Buy	08/15/11	J		
116.					Sold	09/06/11	J	A	
117. -SINA Corp Common ("SINA")					Buy	10/27/11	K		
118.					Sold	11/01/11	J	A	
119. -Sohu Common ("SOHU")					Buy	10/27/11	K		

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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)
120.					Sold	11/01/11	K	A	
121. -VmWare Common ("VMW")					Buy	07/20/11	J		
122.					Sold	08/11/11	J	A	
123. -Direxion Commodity Trends ("DXCTX")					Buy	08/09/11	K		
124.					Sold	09/27/11	K	A	
125. -Direxion Daily Small Cap Bear 3X ("TZA")					Buy	08/10/11	J		
126.					Sold (part)	08/12/11	J	A	
127.					Buy (add'l)	08/19/11	J		
128.					Sold (part)	08/22/11	J	A	
129.					Sold (part)	09/15/11	J	A	
130.					Buy (add'l)	11/01/11	J		
131.					Sold	11/03/11	J	A	
132. -Direxion Large Cap Bear 3X ("BGZ")					Buy	08/10/11	J		
133.					Sold (part)	08/12/11	J	A	
134.					Buy (add'l)	08/16/11	J		
135.					Sold (part)	08/22/11	J	A	
136.					Sold	09/15/11	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	
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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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)
137. -Direxion ETF Small Cap Bull 3X ("TNA")					Buy	08/12/11	J		
138.					Sold (part)	08/18/11	J	A	
139.					Sold	09/06/11	J	A	
140. -Direxion ETF Large Cap Bull 3X (BGU")					Buy	08/12/11	J		
141.					Sold (part)	08/18/11	J	A	
142.					Sold	09/06/11	J	A	
143. -E Commerce China Dang ("DANG")					Buy	08/15/11	J		
144.					Sold	09/06/11	J	A	
145. -Cornerstone Progressive ("CFP")					Buy	09/02/11	J		
146.					Buy (add'l)	09/30/11	L		
147.					Sold (part)	10/27/11	L	A	
148.					Buy (add'l)	11/01/11	K		
149. -Netflix Common ("NFLX")					Buy	09/06/11	K		
150.					Buy (add'l)	09/09/11	J		
151.					Sold	09/30/11	J	A	
152. -Proshares Ultrashort Real Estate ("SRS")					Buy	11/01/11	J		
153.					Sold	11/03/11	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	
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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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)
154. -Zynga Inc Common ("ZNGA")					Buy	12/16/11	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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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/ 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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Washington, D.C. 20544