

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NEW YORK 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 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. 1998	Continuation of payments agreement with former law partner, Franklyn H. Snitow, and his law firm, Snitow Kanfer Holtzer & Millus, LLP.
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.)*

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. 2013

Self-Employed Licensed Real Estate Sales Person and Insurance Agent

2. 2013

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Duke University School of
Law

March 7 - 8, 2013

Durham, NC

Board of Visitors Meeting

Travel, food, and lodging.

2. Duke University School of
LawNovember 14-16,
2013

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.)*

<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. MUTUAL FUNDS									
2. ICHHX - FRANKLIN/TEMPLETON HARD CUR FD	A	Dividend			Sold	05/28/13	K		
3. AFVPX - ALLIANZ NFJ INTL VALUE FD CL P	A	Interest			Sold	05/28/13	K		
4. CIGIX - CALAMOS INVT TR NEW INTL GROWTH FD CL I	A	Interest			Sold	05/28/13	K		
5. DFRPX - DWS PORTFOLIO TR FLTG RATE PLUS FD CL S	A	Interest			Sold	05/28/13	J		
6. HRVIX - HEARTLAND GROUP INC VALUE PLUS FUND	A	Interest			Sold	05/28/13	J		
7. JSTIX - HANCOCK JOHN STRATEGIC SER INCOME FD CL I	A	Interest			Sold	05/28/13	K		
8. NMCAX - ING EQUITY TR MID CAP OPPTY S FD CL A	A	Dividend			Sold	05/28/13	J		
9. CNSDX - INVESCO CONVERTIBLE SECURITIES FUND CLASS Y	A	Interest			Sold	05/28/13	K		
10. JSMGX - JANUS INVT FD TRITON FD CL I	A	Interest			Sold	05/28/13	J		
11. LHYFX - LORD ABBETT HIGH YIELD FD CL F	A	Interest			Sold	05/28/13	K		
12. OOSYX - OPPENHEIMER SENIOR FLOATING RATE FUND CL Y	A	Interest			Sold	05/28/13	J		
13. PCRPX - PIMCO FDS COMMODITYREALRETURN STRATEGY P	A	Interest	J	T					
14. PUSYX - PUTNAM US GOVERNMENT INCOME TRUST-CL Y	B	Interest			Sold	05/28/13	K		
15. VETAX - VICTORY PORTFOLIOS ESTABLISHED VALUE FD CL A	A	Int./Div.			Sold	05/28/13	J		
16. FMLSX - WASATCH FDS INC LONG/ SHORT FD	A	Interest			Sold	05/28/13	J		

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.)

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)
17.									
18. ANNUITIES									
19. DISCOVERY PLUS	C	Interest	M	T					
20.									
21. CASH AND CASH EQUIVALENTS									
22. JP MORGAN CHASE	B	Interest	O	T	Buy (add'l)	03/11/13	N		
23. U.S. SAVINGS BONDS	A	Interest	J	T					
24. AXA FIN'L LIFE INS (Cash Surrender Value)	D	Dividend	N	T					
25. AXA FIN'L LIFE INS (Cash Surrender Value)	C	Dividend	M	T					
26. NEW YORK 529 COLL SVGS MOD AGE-BASED OPT; INCOME PORTFOLIO	A	Interest	K	T					
27. NEW YORK 529 COLL SVGS MOD AGE-BASED OPT; CONSERV GROWTH	A	Interest	L	T	Buy (add'l)	12/27/13	J		
28. NEW YORK 529 COLL SVGS INTEREST ACCUMULATION PORTFOLIO	A	Interest	J	T					
29. TRMXX - RBC PRIME MONEY MARKET FD RESERVE CL	A	Interest			Redeemed	05/31/13	N		
30.									
31. RETIREMENT ACCOUNTS									
32. 401K PLAN - ING	A	Interest			Redeemed	04/01/13	K		
33. 401K PLAN - FIDELITY FREEDOM K	A	Interest	K	T	Buy	04/01/13	K		

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	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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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)
34. IRA SCUDDER - DWS CORE PLUS INCOME FUND	B	Interest	K	T					
35. IRA SCUDDER - DWS GLOBAL THEMATIC FUND	A	Interest	J	T					
36. ACMXX - RBC MONEY MARKET OBLIGATIONS TRUST	A	Interest			Redeemed	06/20/13	N		
37. AGDAX - ALLIANCE BERNSTEIN HIGH INC FD	A	Dividend			Sold	05/28/13	K		
38. GSFTX - COLUMBIA FDS SER TR1 DIV INC	A	Dividend			Sold	05/28/13	J		
39. ICHHX - FRANKLIN/TEMPLETON HARD CUR FD	A	Dividend			Sold	05/28/13	J		
40. HIPIX - HARTFORD INFLATION PLUS FD	A	Dividend			Sold	05/28/13	J		
41. TGBAX - TEMPLETON GLOBAL BOND FD	A	Dividend			Sold	05/28/13	J		
42. RBLCX - RUSSELL INVT BALANCED STRATEGY FD CL C	A	Dividend			Sold	05/28/13	K		
43. AGDAX - ALLIANCE BERNSTEIN HIGH INCOME FUND CL A	A	Interest			Sold	05/28/13	J		
44. AFVPX - ALLIANZ NFJ INTL VALUE FD CL P	A	Interest			Sold	05/28/13	J		
45. CIGIX - CALAMOS INVT TR NEW INTL GROWTH FD CL I	A	Interest			Sold	05/28/13	J		
46. DWOIX - DREYFUS RESH GROWTH FD INC SHS CL I	A	Interest			Sold	05/28/13	J		
47. DFRPX - DWS PORTFOLIO TR FLTG RATE PLUS FD CL S	A	Interest			Sold	05/28/13	J		
48. ICHHX - FRANKLIN/TEMPLETON HARD CURRENCY FUND-ADVISOR CL	A	Dividend			Sold	05/28/13	J		
49. JSTIX - HANCOCK JOHN STRATEGIC SER INCOME FD CL I	A	Interest			Sold	05/28/13	K		
50. HIPIX - HARTFORD INFLATION PLUS FUND CL I	A	Interest			Sold	05/28/13	K		

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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51. HRVIX - HEARTLAND GROUP INC VALUE PLUS FUND	A	Interest			Sold	05/28/13	J		
52. NMCAX - ING EQUITY TR MID CAP OPPTYS FD CL A	A	Dividend			Sold	05/28/13	J		
53. CNSDX - INVESCO CONVERTIBLE SECURITIES FUND CLASS Y	A	Interest			Sold	05/28/13	J		
54. JSMGX - JANUS INVT FD TRITON FD CL I	A	Interest			Sold	05/28/13	J		
55. LHYFX - LORD ABBETT HIGH YIELD FD CL F	A	Interest			Sold	05/28/13	J		
56. FAQIX - NUVEEN EQUITY INCOME FUND CL Y	A	Interest			Sold	05/28/13	J		
57. PCRPX - PIMCO FDS COMMODITYREALRETURN STRATEGY P	A	Dividend			Sold	05/28/13	J		
58. PUSYX - PUTNAM US GOVERNMENT INCOME TRUST-CL Y	A	Interest			Sold	05/28/13	K		
59. TGBAX - TEMPLETON GLOBAL BOND FD	A	Interest			Sold	05/28/13	J		
60. VETAX - VICTORY PORTFOLIOS ESTABLISHED VALUE FD CL A	A	Interest			Sold	05/28/13	J		
61. SGRKX - WELLS FARGO ADVANTAGE GROWTH FUND ADMIN CL	A	Interest			Sold	05/28/13	J		
62. FMLSX - WASATCH FDS INC LONG/ SHORT FD	A	Interest			Sold	05/28/13	J		
63. VMMXX VANGUARD PRIME MONEY MARKET - TRADITIONAL IRA	A	Interest	L	T	Buy	06/25/13	L		
64. VMMXX VANGUARD PRIME MONEY MARKET - TRADITIONAL IRA	A	Interest	M	T	Buy	06/25/13	M		
65. VMMXX VANGUARD PRIME MONEY MARKET - ROTH IRA	A	Interest	K	T	Buy	06/25/13	J		
66. VMMXX VANGUARD PRIME MONEY MARKET - ROTH IRA	A	Interest	K	T	Buy	06/25/13	K		

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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				
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67. VMMXX VANGUARD PRIME MONEY MARKET - SEP-IRA	A	Interest	K	T	Buy	06/25/13	K		

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

None.

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