AO 10
Rev. 1/2015

# 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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Scullin, Frederick J. | US District Court (NDNY) | 5/4/2016 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| US District Judge - Senior Status | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2015<br>**to**<br>12/31/2015 |
| **7. Chambers or Office Address** | | |
| PO Box 7255<br>100 S. Clinton Street<br>Syracuse, NY 13261 | | |

***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. | 2015 | NYS & Local Employees Retirement System - Lifetime |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Scullin, Frederick J.** | 5/4/2016 |

## 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. | 2015 | NYS & Local Employees Retirement System - Lifetime | $7,306.40 |
| 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. | | |
| 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 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.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | Massachussetts Mutual Life | Policy Loan(s) | K |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Scullin, Frederick J.** | 5/4/2016 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 1. BROKERAGE ACCOUNT #1 | | | | | | | | | |
| 2. Key Bank - Cash, Money Markets, FDIC Deposits | A | Int./Div. | J | T | | | | | |
| 3. Lord Abbett Fundamental Equity Fund Class A | C | Dividend | K | T | Buy (add'l) | 11/25/15 | J | | |
| 4. Lord Abbett Fundamental Equity Fund Class A | | None | | | Sold (part) | 09/17/15 | J | A | |
| 5. Ishares Comex Gold Tr Ishares | A | Dividend | J | T | | | | | |
| 6. Ishares Comex Gold Tr Ishares | | None | | | Sold (part) | 12/31/15 | J | A | |
| 7. Blackrock Global Allocation Fund Inc. | B | Dividend | J | T | Buy (add'l) | 12/16/15 | J | | |
| 8. Blackrock Global Allocation Fund Inc. | | None | | | Sold (part) | 12/04/15 | L | A | |
| 9. Deutsche NY Tax Free Income | A | Dividend | J | T | Buy (add'l) | 12/04/15 | J | | |
| 10. Deutsche NY Tax Free Income | | None | | | Sold (part) | 09/17/15 | J | A | |
| 11. BROKERAGE ACCOUNT #2 (IRA) | | | | | | | | | |
| 12. Cash, Money Market, FDIC Deposits - Key Bank Cash Accounts | A | Int./Div. | J | T | | | | | |
| 13. Merger Fund | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 14. Pimco All Assets All Authority Fund Class A | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 15. Pimco Global Multi Asset Fund Class A | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 16. Powershares Global Exchange Traded FD TR Emerging Markets So | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 17. BROKERAGE ACCOUNT #3 (IRA) | | | | | | | | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Scullin, Frederick J.** | 5/4/2016 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 18. Key Bank - Cash, Money Markets, FDIC Deposits | A | Int./Div. | J | T | | | | | |
| 19. Merger Fund | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 20. Pimco All Asset All Authority Fund Class A | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 21. Pimco Global Multi Asset Fund Class A | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 22. Powershares Global Exchange Traded FD TR Emerging Markets So | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 23. BROKERAGE ACCOUNT #4 (IRA ROLLOVER) | | | | | | | | | |
| 24. Key Bank - Cash, Money Markets, FDIC Deposits | A | Int./Div. | J | T | | | | | |
| 25. Russell Global Equity Fund Class S | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 26. Russell U.S. Strategic Equity | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 27. Russell Multi-Strategy Alternative Fund Class S | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 28. Russell Emerging Markets Fund CL S | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 29. Russell Global Real Estate Securities | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 30. Russell Global Real Estate Securities | | None | | | Sold (part) | 08/18/15 | J | A | |
| 31. Russell Global Opportunistic | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 32. Russell Global Infrastructure Fund | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 33. Russell Global Infrastructure Fund | | None | | | Sold (part) | 08/18/15 | J | A | |
| 34. Russell Commodity Strategies Fund | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
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| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. Russell Strategic Bond Fund Class S | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 36. Russell Strategic Bond Fund Class S | | None | | | Sold (part) | 08/18/15 | J | A | |
| 37. Russell Int'l Developed Markets | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 38. Russell U.S. Small Cap Equity Fund | A | Dividend | J | T | Buy (add'l) | 12/31/15 | J | | |
| 39. Russell U.S. Small Cap Equity Fund | | None | | | Sold (part) | 08/18/15 | J | A | |
| 40. Massachusetts Mutual SPLD (2) - Whole Life Policies | D | Dividend | M | V | | | | | |
| 41. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| Name of Person Reporting | Date of Report |
|---|---|
| **Scullin, Frederick J.** | 5/4/2016 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| Scullin, Frederick J. | 5/4/2016 |

## 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/ Frederick J. Scullin**

**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