

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) Sharpe, Gary L.	2. Court or Organization U.S. District Court, NDNY	3. Date of Report 05/16/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge, Senior	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 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.		

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

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 PROVIDED1. NYS Bar Association,
Commercial & Federal
Litigation Section

May 15-16, 2015

Lake George, NY

Annual Meeting & Seminar

Meals & Hotel

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. New York College Tuition Savings # 1 (529)	A	Dividend	K	T					
2. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	01/01/15	J		
3.					Buy (add'l)	02/01/15	J		
4.					Buy (add'l)	03/01/15	J		
5.					Buy (add'l)	04/01/15	J		
6.					Buy (add'l)	05/01/15	J		
7.					Buy (add'l)	06/01/15	J		
8.					Buy (add'l)	07/01/15	J		
9.					Buy (add'l)	08/01/15	J		
10.					Buy (add'l)	09/01/15	J		
11.					Buy (add'l)	10/01/15	J		
12.					Buy (add'l)	11/01/15	J		
13.					Buy (add'l)	12/01/15	J		
14. New York College Tuition Savings #2 (529)	A	Dividend	J	T					
15. -Vanguard Aggressive Age-Based Growth Fund					Buy (add'l)	01/01/15	J		
16.					Buy (add'l)	02/01/15	J		
17.					Buy (add'l)	03/01/15	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 ~\$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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☐ 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)

18.					Buy (add'l)	04/01/15	J		
19.					Buy (add'l)	05/01/15	J		
20.					Buy (add'l)	06/01/15	J		
21.					Buy (add'l)	07/01/15	J		
22.					Buy (add'l)	08/01/15	J		
23.					Buy (add'l)	09/01/15	J		
24.					Buy (add'l)	10/01/15	J		
25.					Buy (add'l)	11/01/15	J		
26.					Buy (add'l)	12/01/15	J		
27.	Edward Jones IRA #1; F/Known as Excel Securities IRA #2)	A	Dividend	M	T				
28.	-Apple Common ("AAPL")				Buy (add'l)	03/18/15	K		
29.					Sold (part)	03/18/15	M	A	
30.					Buy (add'l)	03/24/15	K		
31.					Buy (add'l)	04/20/15	K		
32.					Sold (part)	05/12/15	L	A	
33.					Buy (add'l)	05/22/15	K		
34.					Sold (part)	06/19/15	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	
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35.					Buy (add'l)	06/22/15	K		
36.					Sold	08/20/15	K	A	
37. -Celgene Common ("CELG")					Buy (add'l)	03/18/15	K		
38.					Sold	04/20/15	K	A	
39. -Facebook Inc Common ("FB")					Buy (add'l)	01/26/15	K		
40.					Sold (part)	02/23/15	K	A	
41.					Buy (add'l)	03/18/15	K		
42.					Buy (add'l)	03/24/15	K		
43.					Buy (add'l)	04/20/15	K		
44.					Buy (add'l)	04/21/15	K		
45.					Sold (part)	05/18/15	M	A	
46.					Buy (add'l)	07/28/15	K		
47.					Buy (add'l)	08/25/15	J		
48.					Buy (add'l)	09/14/15	J		
49.					Sold (part)	09/22/15	K	A	
50. -Gilead Sciences Inc Common ("GILD")					Buy	05/12/15	K		
51.					Sold (part)	06/19/15	K	C	

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52.					Buy (add'l)	06/22/15	K		
53.					Sold (part)	08/20/15	K	C	
54.	-Celldex Therapeutics Inc New ("CLDX")				Buy	03/18/15	K		
55.					Sold (part)	04/14/15	J	A	
56.					Sold (part)	04/15/15	J	A	
57.					Buy (add'l)	11/20/15	J		
58.	-EOG Resources Inc Common ("EOG")				Buy	05/12/15	K		
59.					Sold	05/21/15	K	A	
60.	-Google Inc CL A Common ("GOOG")				Sold	09/15/15	L	C	
61.	-Accelaron Pharma Common ("XLRN")				Sold	09/15/15	K	A	
62.	-Alibaba Group Holding Common ("BABA")				Sold	02/02/15	L	A	
63.	-Intercept Pharmaceuticals Common ("ICPT")				Buy (add'l)	03/04/15	K		
64.					Buy (add'l)	03/24/15	K		
65.					Sold (part)	04/14/15	K	A	
66.					Sold	05/21/15	K	A	
67.	-Southwest Airline Common ("LUV")				Sold	01/26/15	K	C	

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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
Suite 2-301
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Washington, D.C. 20544