AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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
Crotty, Paul A.	U.S. District Court (S.D.N.Y.)	05/06/2013

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
U.S. District Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012

7. Chambers or Office Address

500 Pearl Street
Room 735
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.	2005	Verizon Income Deferral Plan (No Control)
2.		
3.		

Name of Person Reporting	Date of Report
Crotty, Paul A.	05/06/2013

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. 2012	Verizon Communications (See VIII)	$213,847.00
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. 2012	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.)*

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

Name of Person Reporting	Date of Report
Crotty, Paul A.	05/06/2013

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.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Crotty, Paul A.	05/06/2013

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.	American Express	B	Dividend			Sold	12/20/12	L	F	
2.	Ameriprise Finl Inc.	A	Dividend			Sold	12/20/12	K	E	
3.	CBOE Holdings	A	Dividend			Sold	5/18/12	J		
4.	Coca Cola	C	Dividend	L	T					
5.	Duke Energy Corp.	A	Dividend	K	T					
6.	Exxon Mobil	B	Dividend	L	T					
7.	General Electric	B	Dividend	J	T	Sold (part)	12/20/12	K		
8.	Hewlett Packard	A	Dividend			Sold	10/3/12	J		
9.	Medtronic	A	Dividend			Sold	5/8/12	J		
10.	Microsoft	A	Dividend	K	T					
11.	Spectra Energy Corp.	A	Dividend	K	T					
12.	Stryker Corp.	A	Dividend	K	T					
13.	Teva Pharmaceuticals	A	Dividend	K	T					
14.	McDonalds	A	Dividend	J	T	Buy	8/15/12	J		
15.	United Health Care	A	Dividend	J	T	Buy	2/3/12	J		
16.	Alliance Bernstein Capital	A	Interest	L	T					
17.	Fidelity NY Muni Fund	A	Dividend	J	T					

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		

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Crotty, Paul A.	05/06/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Norbelle LLC		None	K	U					
19. New Entrepreneur Fund	D	Dividend	L	T					
20. Rollover IRA #1	D	Dividend	N	T					
21. - Fidelity Low Priced Stock					Sold	2/2/12	J		
22. - Baron Growth					Sold (part)	2/2/12	J		
23. - Baron Growth					Sold (part)	9/27/12	K		
24. - William Blair Int'l Growth					Sold	2/2/12	J		
25. - American Growth					Sold (part)	2/2/12	J		
26. - American Growth					Sold (part)	5/2/12	K		
27. - Columbia Acorn Class Z					Sold (part)	2/2/12	J		
28. - Columbia Acorn Class Z					Sold (part)	9/27/12	K		
29. - Dodge & Cox Stock					Sold (part)	2/2/12	J		
30. - Harbor International					Sold (part)	2/2/12	J		
31. - Royce Premier					Sold (part)	2/2/12	J		
32. - Royce Premier					Sold (part)	9/27/12	K		
33. - Fidelity Cash Reserves									
34. - Spartan 500 Index					Sold (part)	2/2/12	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	
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35. - Columbia Acorn Int'l Class Z					Sold (part)	2/2/12	J		
36. - Allianz Agic High Yield					Buy	5/3/12	L		
37. - Allianz Agic High Yield					Buy	9/27/12	L		
38. Rollover IRA #2	E	Interest	P1	T					
39. - Honeywell Int'l Bond									
40. - Walt Disney Bond									
41. - Bottling Group LLC Bond					Sold	2/6/12	K	C	
42. - Oracle Bond					Sold (part)	2/6/12	K	C	
43. - Kimberly Clark Bond									
44. - Federal Farm Cr. Bks Bond					Redeemed	4/26/12	K		
45. - TVA Bond									
46. - Fidelity Cash Reserves									
47. - IBM Bond					Redeemed	11/29/12	K		
48. - Anheuser Busch Bond									
49. - Walgreen's									
50. - Merck & Co.									
51. - Federal Farm									

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52. - Federal Home Loan									
53. - Pfizer & Co.									
54. - Verizon Communications									
55. - SBC									
56. - McDonald's									
57. - Con Edison									
58. - General Dynamics					Redeemed	12/7/12	K		
59. - Wal-Mart									
60. - Phillip Morris									
61. - Shell International									
62. - Total Capital SA									
63. - Hewlett Packard					Sold	10/25/12	K		
64. -Federal Home Loan Bank Cons. Bond					Buy	4/24/12	L		
65. - General Electric					Buy	10/11/12	K		
66. - Praxair					Buy	10/29/12	K		
67. - General Dynamics					Buy	12/20/12	K		
68. Verizon Income Deferral Plan	E	Interest	N	T					

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

In 2012, I continued to receive payments from my Verizon Income Deferral Plan (10/2012). The total payment is shown in III-A, supra.

Name of Person Reporting	Date of Report
Crotty, Paul A.	05/06/2013

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