AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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.)	08/23/2024
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 (Senior - Effective 8/1/2015)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
500 Pearl Street Room 1350 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Crotty, Paul A.	08/23/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. - Accenture PLC Ireland Shs Cl A	A	Dividend	J	T	Buy	08/23/23	J		
2.					Buy (add'l)	08/23/23	J		
3.					Buy (add'l)	08/23/23	J		
4. - Albemarle Corp Com	A	Dividend	J	T	Buy	02/10/23	J		
5.					Buy (add'l)	02/10/23	J		
6.					Sold	04/05/23	J	B	
7.					Sold (part)	04/05/23	J	B	
8. - Alphabet Inc Cap Stk Cl C		None	K	T					
9. - Amazon Com Inc Com		None	K	T					
10. - American Express Co Com	A	Dividend	J	T					
11. - Ameriprise Finl Inc		None	J	T					
12. - Amgen Inc Com	A	Dividend	J	T	Buy	01/20/23	J		
13.					Buy (add'l)	02/15/23	J		
14.					Buy (add'l)	02/13/23	J		
15.					Buy (add'l)	04/28/23	J		
16.					Buy (add'l)	04/28/23	J		
17. - Analog Devices Inc Com	A	Dividend	J	T	Sold (part)	03/24/23	J	D	

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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☐ 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)	
18.					Sold (part)	03/24/23	K	D	
19.					Buy	10/20/23	J		
20. - Apple Inc Com	A	Dividend	L	T	Sold (part)	03/20/23	J	D	
21. - Automatic Data Processing Inc Com	A	Dividend			Sold	03/24/23	J	D	
22. - Blackstone Inc Com	A	Dividend			Sold	03/24/23	J	C	
23. - Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Sold (part)	12/15/23	J	C	
24. - Caterpillar Ins Com	A	Dividend	J	T					
25. - Cheniere Energy Inc Com New	A	Dividend	K	T					
26. - Chevron Corp New Com	A	Dividend	J	T					
27. - Chubb Ltd Com ISIN	A	Dividend	J	T					
28. - Coca-Cola Co		None	M	T					
29. - Costco Wholesale Corp New Com	A	Dividend	K	T					
30. - CVS Health Corp Com	A	Dividend			Sold	03/15/23	K	D	
31.					Sold (part)	03/13/23	J	C	
32. - Danaher Corp Com	A	Dividend	J	T	Buy	06/14/23	J		
33.					Buy (add'l)	06/14/23	J		
34.					Buy (add'l)	08/03/23	J		

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35. - Deere & Co Com	A	Dividend	K	T					
36. - D. R Horton Inc Com	C	Dividend			Sold	02/10/23	J	C	
37.					Sold (part)	02/10/23	J	B	
38. - Diageo PLC Sponsored ADR New	A	Dividend			Buy	04/06/23	J		
39.					Buy (add'l)	04/06/23	J		
40.					Buy (add'l)	04/06/23	J		
41.					Sold	09/29/23	K	D	
42. - Duke Energy Corp		None	J	T					
43. - Eaton Corporation PLC SHS ISIN	A	Dividend			Sold	04/05/23	J	C	
44.					Sold (part)	04/05/23	J	C	
45. - Enbridge Inc		None	J	T					
46. - Exxon Mobil Corp Com	A	Dividend	J	T	Sold (part)	09/06/23	J	D	
47. - First Rep Bk San Francisco Calif New	C	Dividend			Buy	03/03/23	J		
48.					Sold	03/10/23	J	C	
49. - Freeport-McMoran Inc Cl B	A	Dividend			Buy	05/19/23	J		
50.					Buy (add'l)	05/19/23	J		
51.					Sold	10/20/23	J	C	

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52. - Home Depot Inc Com	A	Dividend	J	T	Buy	10/20/23	J		
53. - Honeywell Intl Inc Com	A	Dividend	K	T	Sold (part)	12/01/23	K	A	
54. - Jacobs Solutions Inc Com	A	Dividend	J	T					
55. - Lilly Eli & Co Com	A	Dividend	J	T	Buy	01/19/23	J		
56. - Linde PLC New Shs ISIN	A	Dividend	J	T					
57. - Live Nation Entmt Inc Com	D	Dividend	J	T	Sold (part)	03/15/23	J	D	
58. - McDonalds Corp Com	A	Dividend	J	T					
59. - Microsoft Corp Com	A	Dividend	L	T	Sold (part)	03/20/23	J	D	
60. - Mosaic Co New Com	A	Dividend			Sold	03/15/23	J	B	
61. - Nextera Energy Inc Com	A	Dividend			Buy	02/15/23	J		
62.					Buy (add'l)	02/13/23	J		
63.					Buy (add'l)	04/05/23	J		
64.					Buy (add'l)	04/05/23	J		
65.					Buy (add'l)	04/05/23	J		
66.					Sold	10/05/23	J	C	
67. - Nike Inc Cl B	A	Dividend	J	T					
68. - Northrop Grumman Corp Com	A	Dividend	J	T	Buy	09/11/23	J		

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69.					Buy (add'l)	09/11/23	J		
70.					Buy (add'l)	09/11/23	J		
71. - Palo Alto Networks Inc. Com		None	J	T	Buy	02/14/23	J		
72.					Buy (add'l)	02/10/23	J		
73. - Paypal Hldgs Inc Com	C	Dividend			Buy	02/15/23	J		
74.					Buy (add'l)	02/13/23	J		
75.					Sold	03/27/23	J	C	
76.					Sold (part)	03/24/23	J	B	
77. - Pepsico Inc Com	A	Dividend			Buy	02/14/23	J		
78.					Buy (add'l)	02/10/23	K		
79.					Sold	12/15/23	J	C	
80. - Prologis Inc Com	A	Dividend	J	T					
81. - Procter & Gamble Co Com	A	Dividend	J	T					
82. - Quanta Svcs Inc Com	D	Dividend			Sold	02/14/23	J	D	
83.					Sold	02/10/23	J	D	
84.					Sold	02/10/23	J	D	
85. - Raytheon Technologies Corp Com	A	Dividend	J	T	Buy	02/14/23	J		

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86.					Buy (add'l)	02/13/23	J		
87. - RTX Corp Com	A	Dividend			Sold	09/11/23	J	C	
88.					Sold (part)	09/11/23	J	C	
89. - Salesforce Inc Com		None	J	T	Buy	09/19/23	J		
90.					Buy (add'l)	09/19/23	J		
91.					Buy (add'l)	09/19/23	J		
92. - Stryker Corp Common	A	Dividend	J	T					
93. - Target Corp Com	A	Dividend			Sold	08/23/23	J	C	
94.					Sold (part)	08/23/23	J	C	
95. - Thermo Fisher Scientific Inc Com	A	Dividend	J	T					
96. - Ulta Beauty Inc	C	Dividend			Sold (part)	01/20/23	K		
97.					Sold (part)	01/20/23	J		
98. - United Parcel Svc Inc Cl B	A	Dividend	J	T	Buy (add'l)	06/07/23	J		
99.					Buy (add'l)	06/07/23	J		
100.					Sold (part)	12/15/23	J	C	
101. - Veralto	A	Dividend			Sold	10/18/23	J	A	
102. - Visa Inc Com Cl A	A	Dividend	J	T	Sold (part)	12/01/23	J	A	

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103.					Buy (add'l)	06/07/23	J		
104.					Buy (add'l)	06/07/23	J		
105.					Buy (add'l)	06/07/23	J		
106. - Waste Mgmt Inc Del Com	A	Dividend	J	T	Buy	08/23/23	J		
107.					Buy (add'l)	08/23/23	J		
108. - Zoetis Inc Com	A	Dividend	J	T					
109. - Dreyfus Treas Sec CM Service	A	Interest	J	T					
110. - Tennessee Valley Auth Global Pwr Db 2014 Ser	A	Interest	K	T					
111. - Apple Inc Fxd Rt Nt	B	Interest	K	T					
112. - Deere John Cap Corp Medium Term	A	Interest	K	T					
113. - Novartis Cap Corp Gtd Fxd Rt NTS	A	Interest	K	T					
114. - Pepsico Inc SR NT	A	Interest	K	T					
115.									
116.									
117.									
118.									
119.									

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
Crotty, Paul A.	08/23/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
120.									
121.									

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		

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

Name of Person Reporting	Date of Report
Crotty, Paul A.	08/23/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
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