AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Gardephe, Paul G.	U.S. District Court, SDNY	05/05/2022
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**
District Judge, active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
U.S. Courthouse 40 Foley Square 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.	Advisory Board Member	Sunsglow
2.	Adjunct Professor of Law	New York Law School
3.	Adjunct Professor of Law	Fordham Law School
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.	2003	with Time Warner Inc., regarding deferred compensation plan, Time Warner Savings Plan
2.	2008	with Patterson Belknap Webb & Tyler, LLP, regarding capital account and fees earned while a firm partner, and 401k, money purchase, and cash balance plans
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. 2021	New York Law School, wages	$5,000.00
2. 2021	Fordham Law School, wages	$2,500.00
3. 2021	AT&T Inc., pension	$18,109.69
4. 2021	Internal Revenue Service, interest	$224.43

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. 2021	City of New Rochelle, wages
2. 2021	Fund for Court Innovation, wages
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.				

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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.	John Kerr	accomodations at Harbor View Hotel, Edgartown, MA	$3,000.00
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.			

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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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
1. Dreyfus Basic Money Market Mutual Fund	A	Dividend	J	T	Redeemed (part)	01/11/21	K	A	
2.					Redeemed (part)	01/19/21	J	A	
3.					Redeemed (part)	01/20/21	K	A	
4.					Buy (add'l)	02/18/21	J		
5.					Buy (add'l)	03/08/21	J		
6.					Closed	05/26/21	N	A	
7. Dreyfus Government Cash Management Fund	A	Dividend	N	T	Open	05/26/21	N		
8.					Redeemed (part)	08/02/21	J	A	
9.					Redeemed (part)	11/05/21	J	A	
10. Apple Bank cert of deposit	A	Interest	K	T					
11. Neuberger Berman Int'l Equity Fund	D	Dividend	L	T					
12. Janus Henderson Growth and Income Fund	F	Dividend	N	T					
13. Fidelity Magellan Fund	E	Dividend	L	T					
14. Neuberger Berman Large Cap Value Fund (f/k/a NB Partners Fund)	D	Dividend	K	T					
15. AT&T Inc. Common Stock (f/k/a Time Warner Stock Fund)	B	Dividend	J	T					
16. New York College Savings Plan (no control other than risk)									
17. -- Moderate Age-Based Option: Income Portfolio	A	Dividend	L	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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18. -- Aggressive Growth Portfolio	E	Dividend	M	T					
19. Patterson Belknap Money Purchase Plan									
20. -- Vanguard Institutional Index Fund	G	Dividend	O	T					
21. -- DFA US Lg Cap Value Fund	E	Dividend	M	T					
22. Patterson Belknap Webb & Tyler 401k									
23. -- Vanguard Institutional Index Fund	F	Dividend	N	T					
24. -- DFA US Lg Cap Value Fund	E	Dividend	L	T					
25. Vanguard Tax Managed Capital Appreciation Fund	F	Dividend	N	T					
26. Vanguard 500 Index Fund	E	Dividend	M	T					
27. Vanguard Tax Managed Small Cap Fund	E	Dividend	M	T					
28. Vanguard Prime Money Market Fund	A	Dividend	L	T					
29. Northwestern Mutual Life ins. policy (cash value,no control)	B	Dividend	K	T					
30. Northwestern Mutual Life ins. policy (cash value,no control)	C	Dividend	L	T					
31. Northwestern Mutual Life ins. policy (cash value,no control)	D	Dividend	M	T					
32. Savings Bank Life ins. (cash value, no control)	A	Dividend	J	T					
33. Savings Bank Life ins. (cash value, no control)	A	Dividend	J	T					
34. Fidelity Small Cap Growth Fund	E	Dividend	M	T					

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35. Fidelity Total Market Index Fund	E	Dividend	M	T					
36. Fidelity 500 Index Fund	E	Dividend	M	T					
37. Vanguard 500 Index Fund	B	Dividend	J	T					

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

Part I As indicated in the 2020 FDR, Estate 1's remaining bank account was closed on September 10, 2020. Accordingly, I have deleted the reference to my executor position.

Part VII, Line 6. Dreyfus closed the Basic Money Market Fund and all funds held in this account were transferred to another fund at Dreyfus -- the Dreyfus Government Cash Management Fund -- on May 26, 2021

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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/ Paul G. Gardephe

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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