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
Scullin, Frederick J.	US District Court (NDNY)	04/26/2022
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**
US District Judge-Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☒ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
PO Box 7255 100 S. Clinton St. 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 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. 2021	NYS and local employees retirement system--lifetime
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.	2021	NYS and localemployees retirement system--lifetime	$7,797.00
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
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.					

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/26/2022

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.	Mass Mutual	cash value policy loan	K
2.	Mass Mutual	cash value policy loan	J
3.	Mass Mutual	cash value policy loan	J
4.			
5.			

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Scullin, Frederick J.	04/26/2022

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. .BROKERAGE ACCOUNT #1 (H)									
2. Blackrock Global Allocation Fund Inc.	B	Dividend	J	T					
3. Lord Abbett Fundamental Equity Fund Class A	E	Dividend	M	T	Buy (add'l)	04/21/21	J		
4.					Buy (add'l)	08/18/21	K		
5. DWS Tax Free Income Fund	A	Int./Div.	J	T					
6. Ishares Gold Trust		None	K	T					
7. Lord Abbett Dividend Growth Fund Class A	D	Dividend	L	T	Buy	04/21/21	K		
8.					Buy (add'l)	08/18/21	K		
9. BROKERAGE ACCOUNT #2 IRA (H)									
10. Key Bank-cash,money market, FDIC deposits	A	Interest	J	T					
11. The Merger Fund Investor Class	A	Dividend			Sold (part)	08/27/21	J	A	
12.					Sold	09/02/21	J	A	
13. Pimco All Asset Authority Fund	A	Dividend	J	T					
14. Pimco Income Fund Class A	A	Dividend	J	T	Sold (part)	09/02/21	J	A	
15. Invesco Exchange Traded Fund	A	Dividend	J	T					
16. BROKERAGE ACCOUNT #3 IRA (H)									
17. Key Bank-cash, money markets, FDIC deposits	A	Interest	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		

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/26/2022

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.)*

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18.	The Merger Fund Investor Class	A	Dividend	J	T	Sold (part)	08/27/21	J	A	
19.	Pimco All Asset Authority Fund	A	Dividend	J	T					
20.	Pimco Income Fund Class A	A	Dividend	J	T					
21.	Invesco Exchange Traded Fd.	A	Dividend	J	T					
22.	BROKERAGE ACCOUNT #4 IRA (H)									
23.	Cash, money markets, FDIC deposits	A	Int./Div.	J	T					
24.	Vanguard Bd Index Fds-LT Bd ETF	A	Dividend	J	T	Buy (add'l)	01/13/21	J		
25.						Buy (add'l)	10/22/21	J		
26.	Vanguard Bd Index Fds-Intermediate term ETF	A	Dividend	J	T	Buy (add'l)	01/13/21	J		
27.						Buy (add'l)	10/22/21	J		
28.	Vanguard Bd Index Fds-ST Bd ETF	A	Dividend	J	T	Buy (add'l)	01/13/21	J		
29.						Buy (add'l)	10/22/21	J		
30.	Vanguard Intl Fd-FTSE Developed Markets ETF	A	Dividend	J	T	Sold (part)	01/13/21	J	A	
31.	Vanguard Charlotte Fd-Total Intl Bd ETF	A	Dividend	J	T	Buy (add'l)	01/13/21	J		
32.						Buy (add'l)	10/22/21	J		
33.	Vanguard Int'l Equity Index Fds-FTSE emerging markets ETF	A	Dividend	J	T	Buy (add'l)	10/22/21	J		
34.						Sold (part)	01/13/21	J	A	

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35. Vanguard Scottsdale Fd. Mtg. backed sec ETF	A	Dividend	J	T	Buy (add'l)	01/13/21	J		
36.					Buy (add'l)	10/22/21	J		
37. Vanguard Index Fds- Growth ETF	A	Dividend	J	T	Sold (part)	01/13/21	J	A	
38.					Sold (part)	10/22/21	J	A	
39. Vanguard Index Fds-Value ETF	A	Dividend	J	T	Sold (part)	01/13/21	J	A	
40.					Sold (part)	10/22/21	J	A	
41. Vanguard Index Fds-small-cap ETF	A	Dividend	J	T	Sold (part)	01/13/21	J	A	
42.					Sold (part)	10/22/21	J	A	
43. BROKERAGE ACCOUNT #5(H)- Brighthouse Shield Level Annuity									
44. 1 Year S&P 500 index step rate		None	J	T					
45. 3 year MCSI EEAFE index		None	J	T					
46. 3 year Russell 2000 Index		None	J	T					
47. 3 year S&P 500 Index		None	K	T					
48. LIFE INSURANCE POLICIES (H)									
49. Mass Mutual	C	Dividend	L	V					
50. Mass Mutual	B	Dividend	K	V					
51. Mass Mutual	A	Dividend	J	V					

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52.									

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

Section VII, lines 49, 50 and 51, column C2, Value Method-Other--cash surrender value pursuant to insurance company contracts.

Name of Person Reporting	Date of Report
Scullin, Frederick J.	04/26/2022

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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