

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) McCarthy, Jeremiah J.	2. Court or Organization United States District Court	3. Date of Report 10/28/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2015 to 12/31/2015
	5b. ☒ Amended Report	
7. Chambers or Office Address Robert H. Jackson United States Courthouse 2 Niagara Square, Room 690 Buffalo, New York 14202-3498		
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.	Trustee	Timothy V. Riordan Supplemental Needs Trust
2.	Director	Hilbert College
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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 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. First Niagara Checking	A	Interest	J	T					
2. First Niagara Savings	A	Interest	M	T					
3. First Niagara Supp. Needs Trust Acct	A	Interest	K	T					
4. M&T Bank Savings Account	A	Interest	J	T					
5. Franklin NY Intermediate - Term Tax Fee Income Fund Class A	A	Dividend	J	T					
6. Columbian Mutual Life Ins. Co.	A	Interest			Redeemed	04/14/15	K		
7. Fundamental Investors A (American Fund)	A	Interest	J	T					
8. Fundamental Investors A (American Fund)	A	Interest	J	T					
9. Doubleline Total Rt Bond FD	A	Int./Div.	K	T					
10. Fidelity Cash Reserves n/k/a Bank Deposit Sweep Program	A	Interest	L	T					
11. Goldman Sachs Strg Income Fund	A	Dividend			Sold	01/30/15	K		
12. John Hancock Discipl. Value Mid Cap	D	Dividend	L	T					
13. JP Morgan Chase & Co. Alerian MLP	A	Interest			Sold	05/08/15	K		
14. Lazard Intl Strategy Equity	C	Dividend	L	T					
15. Mainstay Large Cap Growth	E	Dividend	M	T					
16. Oppenheimer Dev Markets	B	Dividend			Buy	01/30/15	J		
17.					Sold (part)	05/15/15	K		

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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18.					Sold	09/22/15	K		
19. Oppenheimer Sr. Floating Rt Y	B	Dividend	K	T					
20. Pimco Fundmntl Adv Total Return	B	Dividend			Sold	12/01/15	K		
21. Hartford Small Cap Growth Class Y	C	Dividend	K	T	Buy	01/30/15	K		
22. JP Morgan Divers Mid Cap Growth	C	Interest	L	T	Sold (part)	05/15/15	J		
23. JP Morgan Equity Income Select Shares	C	Dividend	M	T					
24. Swan Defined Risk Fund Class I	A	Dividend	K	T					
25. Blackrock High Yield Bond Institutional	B	Int./Div.	K	T	Buy	01/28/15	K		
26. Columbia Multi Advs Small Cap Value R4	C	Int./Div.	K	T	Buy	01/28/15	K		
27. Lazard Int'l Strategy Equity Port	A	Dividend	L	T	Buy	01/28/15	J		
28. Mainstay Large Cap Growth I	E	Dividend	M	T					
29. Oppenheimer Int'l Small Mid Co. Y	A	Dividend	K	T	Buy	05/08/15	K		
30. Eagle MLP Strategy I	A	Dividend			Buy	05/06/15	K		
31.					Buy	10/28/15	K		
32.					Sold	12/15/15	K		

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

By letter dated September 30, 2016, the Committee on Financial Disclosure has asked me to explain why an asset, listed at Part VII, Line 20 of last year's report ("Morgan Stanley Sm. Co. Gr.") was not listed on this year's report. After further inquiry to my financial advisor, the explanation is that Part VII, line 21 of last year's report erroneously listed the sale of that asset on October 15, 2014 as a partial sale, whereas in fact it was a complete sale. Therefore, I no longer owned the asset in 2015.

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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/ **Jeremiah J. McCarthy**

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