

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) D'Agostino, Mae A.	2. Court or Organization U.S. District Court for the Northern District of New York	3. Date of Report 05/01/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. District Court James T. Foley U.S. Courthouse 445 Broadway Albany, NY 12207		
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. Adjunct Professor	Albany Law School
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. 05/01/2008	American International Life Assurance Co., structured settlement for future payments of legal fees earned
2. 09/04/2002	American General Life Insurance Co., structured settlement for future payments of legal fees earned
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2014	Albany Law School	\$3,200.00
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.	
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	College of St. Rose	Tuition	None
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. Key Bank Account	A	Interest	K	T					
2.									
3. Trustco Bank Account	A	Interest	L	T					
4.									
5. Fidelity Brokerage Account (H)									
6. - Cash	A	Interest	J	T					
7. - Fidelity Cash Reserves	A	Dividend	J	T					
8. - American Beacon Large Cap Investor	A	Dividend	J	T	Buy	05/29/14	J		
9. - Artisan Mid Cap Value	A	Dividend	J	T					
10. - Artisan Intl Value Fund Inv Cl	A	Dividend	J	T					
11. - Spartan 500 Index Fd Adv Cl	A	Dividend	K	T					
12. - Spartan Extended Mkt Index Fid Adv Cl	A	Dividend	J	T	Buy (add'l)	03/27/14	J		
13. - Fidelity Contrafund	A	Dividend	J	T	Sold (part)	05/29/14	J	A	
14. - Fidelity Strategic Dividend & Income	A	Dividend	J	T	Buy (add'l)	05/29/14	J		
15. - Fidelity Low Priced Stock	A	Dividend	J	T					
16. - Fidelity Select Medical Equip & System	A	Dividend	J	T					
17. - Oakmark International Small Cap I	A	Dividend	J	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. - Fidelity Floating Rate High Income	A	Dividend	J	T					
19. - Fidelity High Income	A	Dividend	J	T	Sold (part)	11/24/14	J	A	
20. - Fidelity Strategic Income	A	Dividend	J	T					
21. - Matthews Asian Growth & Income	A	Dividend	J	T					
22. - Metropolitan West Low Duration M	A	Dividend	J	T					
23. - PIMCO Foreign Bond CL D	A	Dividend	J	T	Buy (add'l)	11/24/14	J		
24. - Fidelity Real Estate Income	A	Dividend	J	T					
25.									
26. Fidelity IRA (H)	F	Dividend	P1	T					
27. - American Beacon Large Cap Investor					Sold (part)	03/27/14	J		
28.					Sold (part)	09/29/14	J		
29.					Sold (part)	11/24/14	J		
30. - Artisan Mid Cap Value					Sold (part)	09/29/14	J		
31.					Sold (part)	11/24/14	J		
32. - Artisan Intl Value Fund Inv Cl					Sold (part)	05/29/14	J		
33.					Buy (add'l)	09/29/14	J		
34.					Sold (part)	11/24/14	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	
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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35. - Fidelity Contrafund					Sold (part)	01/30/14	J		
36.					Sold (part)	03/27/14	J		
37.					Sold (part)	05/29/14	K		
38.					Sold (part)	09/29/14	J		
39. - Fidelity Low Priced Stock					Sold (part)	03/27/14	J		
40. - Oakmark International Small Cap I					Sold (part)	05/29/14	J		
41.					Sold (part)	11/24/14	J		
42. - Fidelity Floating Rate High Income					Buy (add'l)	01/30/14	J		
43.					Buy (add'l)	03/27/14	J		
44.					Sold (part)	05/29/14	J		
45.					Buy (add'l)	09/29/14	J		
46.					Buy (add'l)	11/24/14	J		
47. - Spartan 500 Index Fd Adv					Sold (part)	05/29/14	J		
48.					Sold (part)	09/29/14	J		
49.					Buy (add'l)	11/24/14	J		
50. - Spartan Extended Mkt Index Fid Adv CL					Buy (add'l)	03/27/14	J		
51.					Buy (add'l)	05/29/14	J		

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52.					Sold (part)	11/24/14	J		
53. - Fidelity Large Cap Value Enhanced Index					Buy	03/27/14	L		
54.					Buy (add'l)	05/29/14	K		
55.					Sold (part)	09/29/14	J		
56.					Sold (part)	11/24/14	J		
57. - Matthews Asian Growth & Income Fund					Sold (part)	01/30/14	J		
58.					Sold (part)	03/27/14	J		
59.					Sold (part)	05/29/14	J		
60.					Buy (add'l)	09/29/14	J		
61.					Buy (add'l)	11/24/14	J		
62. - Parnassus Equity Income Portfolio					Sold	03/27/14	L		
63. - Fidelity High Income					Buy (add'l)	03/27/14	J		
64.					Sold (part)	09/29/14	J		
65.					Sold (part)	11/24/14	J		
66. - Metropolitan West Low Duration M					Buy	01/30/14	J		
67.					Sold (part)	03/27/14	J		
68. - PIMCO Foreign Bond CL D					Sold (part)	03/27/14	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
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69.					Buy (add'l)	09/29/14	J		
70.					Buy (add'l)	11/24/14	J		
71. - Fidelity Strategic Income					Buy (add'l)	03/27/14	J		
72.					Buy (add'l)	09/29/14	J		
73.					Buy (add'l)	11/24/14	J		
74. - Fidelity Real Estate Income					Buy (add'l)	01/30/14	J		
75.					Buy (add'l)	05/29/14	J		
76. - Fidelity Select Health Care					Sold (part)	01/30/14	J		
77.					Buy (add'l)	11/24/14	J		
78. - Fidelity Cash Reserves									
79.									
80. Prudential Annuity (Inherited)	A	Interest	K	T	Distributed (part)	12/31/14	K		
81.									
82.									
83.									

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

Section VII. Investments and Trusts

Line 3 - Trustco Bank - This account was opened with funds that were inherited from an estate. The account was opened on July 28, 2014 with a deposit of \$52,317.

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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/ Mae A. D'Agostino

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