

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) DANCKS, THERESE W.	2. Court or Organization NDNY DISTRICT COURT-SYRACUSE	3. Date of Report 09/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 100 S. CLINTON STREET 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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. DIRECTOR, BEGINNING 7/1/2013	VOLUNTEER LAWYERS PROJECT, INC.
2. DIRECTOR	ONEIDA LAKE ASSOCIATION
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.		
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. KRAUSHAAR; PERSONAL NOTE	C	Interest	K	T					
2. KEY BANK ACCOUNT	A	Interest	N	T					
3. ONEIDA SAVINGS ACCOUNT 1	A	Interest	M	T					
4. ONEIDA SAVINGS ACCOUNT 2	A	Interest	J	T					
5. FIDELITY INVESTMENTS:									
6. -HEWLETT-PACKARD CO DE		None			Sold	03/25/13	J		
7. -ORACLE CORPORATION	A	Distribution			Sold	03/25/13	J	A	
8. -PETROLEO BRASILEIRO		None			Sold	03/25/13	J		
9. -QUALCOMM INC	D	Distribution			Sold	03/25/13	J	D	
10. -FIDELITY NY MUNI MONEY MARKET	A	Int./Div.	J	T					
11. -FIRST TR EXCHANGE TRADED FD II	A	Dividend	K	T	Buy	03/28/13	K		
12. -GENERAL ELECTRIC CO	A	Dividend	K	T					
13. -ISHARES LATIN AMERICA 40 ETF	B	Dividend	K	T	Buy	03/28/13	K		
14. -ISHARES MSCI EMERGING MARKETS ETF	B	Dividend	K	T	Buy	03/28/13	K		
15. -ISHARES MSCI PACIFIC EX JAPAN ETF	C	Dividend	L	T	Buy	03/28/13	L		
16. -ISHARES NASDAQ BIOTECHNOLOGY	A	Dividend	K	T	Buy	03/28/13	K		
17. -ISHARES NEW YORK AMT-FREE MUNI	A	Dividend	K	T	Buy	03/28/13	K		

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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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 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. -ISHARES 2015 AMT-FREE MUNI TERM ETF	A	Int./Div.	K	T	Buy	03/28/13	K		
19. -OPPENHEIMER ROCHESTER MUNI CL C	A	Int./Div.	J	T					
20. -VANGUARD INTL EQUITY INDEX FDS	D	Int./Div.	K	T	Buy	03/28/13	J		
21. RBC INVESTMENTS:									
22. -GENERAL ELECTRIC	A	Dividend			Merged (with line 12)	03/25/13	J		
23. -HEWLETT PACKARD CO	A	Dividend			Merged (with line 6)	03/25/13	J		
24. -ROCHESTER FUNDS MUNICIPALS INC-CL C		None			Merged (with line 19)	03/25/13	J		
25. -PRIME MONEY MARKET FUND RBC INVESTOR CLASS	A	Dividend			Merged (with line 10)	03/25/13	J		
26. -QUALCOMM INC.	A	Dividend			Merged (with line 9)	03/25/13	J		
27. -ORACLE CORP		None			Merged (with line 7)	03/25/13	J		
28. -PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR		None			Merged (with line 8)	03/25/13	J		
29. U.S. SAVINGS BONDS	D	Interest			Matured	01/10/13	J		
30. FIDELITY IRA:									
31. -FIDELITY CAPITAL & INCOME	E	Distribution			Sold	03/26/13	K	E	
32. -FIDELITY GROWTH STRATEGIES FUND		None			Sold	03/26/13	K		
33. -FIDELITY CASH RESERVES	A	Dividend	K	T					
34. -FIRST TR LARGE CAP VALUE OPPORTUNITIES	A	Dividend	K	T	Buy	05/28/13	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	
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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)
35. -FIRST TRUST PORTFOLIOS LARGE CAP GROWTH	A	Dividend	L	T	Buy	05/28/13	K		
36. -ISHARES MSCI AUSTRALIA ETF	A	Dividend	J	T	Buy	05/28/13	J		
37. -ISHARES MSCI BRAZIL ETF	A	Dividend	K	T	Buy	05/28/13	K		
38. -ISHARES TIPS BOND ETF	A	Dividend	L	T	Buy	05/28/13	L		
39. -ISHARES MSCI EMERGING MARKETS ETF	A	Dividend	J	T	Buy	05/28/13	J		
40. -ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend	L	T	Buy	05/28/13	L		
41. -ISHARES S&P MID CAP 400 VALUE ETF	A	Dividend	L	T	Buy	05/28/13	L		
42. -ISHARES US FINANCIALS ETF	A	Dividend	K	T	Buy	05/28/13	K		
43. -ISHARES IBOXX HIGH YIELD CORPORATE BOND	B	Dividend	K	T	Buy	03/28/13	K		
44. -ISHARES IBOXX HIGH YIELD CORPORATE BOND	A	Dividend	K	T	Buy (add'l)	05/28/13	J		
45. -ISHARES US PREFERRED STOCK ETF	A	Dividend	J	T	Buy	05/28/13	J		
46. -SPDR SER TR BARCLAYS HIGH YIELD BD ETF	B	Dividend	K	T	Buy	05/28/13	K		
47. -SPDR SER TR DB INTL GOVT INFLATION	A	Dividend	K	T	Buy	05/28/13	K		
48. -SPDR SER TR DJ WILSHIRE REIT ETF	A	Dividend	J	T	Buy	03/28/13	K		
49. -VANGUARD INDEX FDS VANGUARD SMALL CAP VALUE	B	Dividend	L	T	Buy	05/28/13	L		
50. -VANGUARD INDEX FDS VANGUARD SMALL CAP GROWTH	A	Dividend	L	T	Buy	05/28/13	L		
51. -VANGUARD INDEX FDS VANGUARD GROWTH	A	Dividend	K	T	Buy	05/28/13	K		

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52. -VANGUARD INDEX FDS VANGUARD VALUE VIPERS	A	Dividend	J	T	Buy	05/28/13	J		

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

Part VII: Please note that while Therese Dancks is no longer a Trustee for the Gale & Dancks, LLC Profit Sharing Plan, she rolled her retirement account into the Fidelity IRA on 5/21/13. The money from the rollover was used to purchase the securities listed and dated on 5/28/13.

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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/ THERESE W. DANCKS

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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Washington, D.C. 20544