

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 06/30/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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. Key Bank Checking (Account transferred from First Niagara)	A	Interest	J	T					
2. Key Bank Savings (Account transferred from First Niagara)	A	Interest	M	T					
3. Northwest Supp. Needs Trust Acct (Account transf from First Niagara)	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. Fundamental Investors A (American Fund)	A	Dividend	J	T	Buy	02/16/16	K		
7.	A	Dividend	J	T	Buy	08/08/16	K		
8.	A	Dividend	J	T	Buy	09/01/16	K		
9.	A	Dividend	J	T	Buy	12/26/16	K		
10. Fundamental Investors A (American Fund)	A	Dividend	J	T					
11. Fundamental Investors A (American Fund)	A	Dividend	J	T					
12. Doubleline Total Rt Bond FD	B	Dividend	K	T					
13. Bank Deposit Sweep Program	A	Interest	K	T					
14. John Hancock Discipl, Value Mid Cap	B	Dividend	L	T					
15. Lazard Intl Strategy Equity	B	Dividend	L	T					
16. Mainstay Large Cap Growth		None			Buy	02/16/16	K		
17.		None			Sold	08/09/16	M		

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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	(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)
18. Oppenheimer Sr. Floating Rt Y	A	Dividend			Sold	02/16/16	K		
19. Hartford Small Cap Growth Class Y		None			Sold	02/16/16	K		
20. JP Morgan Divers Mid Cap Growth	A	Dividend	L	T					
21. JP Morgan Equity Income Select Shares	C	Dividend	M	T					
22. Swan Defined Risk Fund Class I	A	Dividend	K	T					
23. Blackrock High Yield Bond Institutional	B	Dividend	K	T					
24. Columbia Multi Advs Small Cap Value R4		None			Sold	02/16/16	K		
25. Lazard Int'l Strategy Equity Port		None			Sold	08/19/16	K		
26. Oppenheimer Int'l Small Mid Co. Y		None			Sold	08/19/16	K		
27. Allianz GI Structured Return Inst'l	A	Dividend	K	T	Buy	02/16/16	K		
28. AQR Style Premia Alternative Lv I	A	Dividend	K	T	Buy	02/16/16	K		
29. Cohen & Steers Pref Securities Inc.	A	Dividend	K	T	Buy	02/16/16	K		
30. JP Morgan Sm Cap Equity		None	K	T	Buy	02/16/16	K		
31. Vanguard GNMA Admiral	A	Dividend	K	T	Buy	02/16/16	K		
32.	A	Dividend	K	T	Buy	08/09/16	K		

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

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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
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