

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/11/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 100 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	Volunteer Lawyers Project, Inc.
2. Board Member	Le Moyne College Board of Regents
3. Co-Executrix, estate closed 7/31/17	Estate #1
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.)*

<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. Cornell Law School	10/27/17-10/28/17	Myron Taylor Hall, Ithaca, NY 14853-4901	Panel of judges for the school's Cuccia Cup Moot Court Finals	Overnight accommodations, three meals, and mileage reimbursement.
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	A	Interest			Closed	05/05/17	J		
2. Key Bank Account	A	Interest	J	T					
3. Community Bank F/K/A Oneida Savings Account 1	A	Interest	J	T					
4. Fidelity Investments:									
5. -Allstate Corp Dep Sh 6.62500%	A	Dividend			Sold	01/12/17	J	A	
6. -AT&T Inc Com USD1	A	Dividend			Sold	01/12/17	J	A	
7. -Bank Amer Corp Dep 6.375 % PFD		None			Sold	01/12/17	J	A	
8. -Bershire Hathaway Inc Del CL B New		None	J	T					
9. -C S X Corp		None			Sold	01/12/17	J	B	
10. -Conagra Brands Inc		None			Sold	01/12/17	J	A	
11. -Consolidated Edison Hldg Co Inc		None			Sold	01/12/17	J	A	
12. -Corning Inc		None			Sold	01/12/17	J	A	
13. -Countrywide Cap V GTD Cap Sec		None			Sold	01/12/17	J	A	
14. -Duke Energy Corp New Com New		None			Sold	01/12/17	J	A	
15. -Fidelity Govenment Cash Reserves	A	Dividend	K	T					
16. -Fidelity NY Muni Money Market	A	Int./Div.			Sold	08/09/17	J		
17. -Fidelity Short Term Bond	A	Dividend	L	T	Buy (add'l)	08/10/17	L		

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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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.					Sold (part)	08/28/17	L	A	
19.	-First TR Exchange Traded FD II	A	Dividend	L	T	Sold (part)	08/09/17	J	B
20.	-First Trust Portfolios Large Cap Growth	A	Dividend	J	T	Sold (part)	08/09/17	J	B
21.	-Ford MTR Co Del Com		None		Sold	01/12/17	J		
22.	-General Electric Co	B	Dividend	K	T				
23.	-iShares IBonds Dec 2021	A	Dividend	K	T	Buy	01/18/17	K	
24.	-iShares MSCI Pacific Ex Japan ETF	A	Dividend	K	T	Buy (add'l)	01/18/17	J	
25.	-iShares Nasdaq Biotechnology	A	Dividend	K	T				
26.	-iShares New York Muni Bond ETF F/K/A Ishares New York ATM-F	A	Int./Div.	K	T				
27.	-iShares S&P Mid Cap 400 Growth ETF	A	Dividend	J	T	Sold (part)	08/09/17	J	B
28.	-iShares S&P MidCap 400 Value ETF	A	Dividend	J	T	Sold (part)	08/09/17	J	A
29.	-iShares Tips Bond ETF	A	Dividend		Buy	01/12/17	J		
30.					Sold	08/09/17	J		
31.	-iShares US Financials ETF	A	Dividend		Sold	08/09/17	J	B	
32.	-JP Morgan Chase & Co Depositary SHS		None		Sold	01/12/17	J	A	
33.	-Johnson & Johnson		None		Sold	01/12/17	J	A	
34.	-Kimberly Clark Corp	A	Dividend		Sold	01/12/17	J	A	

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		
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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 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. -Kraft Heinz Co Com		None			Sold	01/12/17	J	A	
36. -Lamb Weston Hldgs Inc Com		None			Sold	01/12/17	J	A	
37. -Loomis Sayles Core Plus Bd FD		None			Sold	01/12/17	J		
38. -Loomis Sayles SR FLT Rate & Fixed Inc C		None			Sold	01/12/17	J		
39. -Lord Abnett Floating Rate Inc Fd Cl F	B	Dividend	K	T					
40. -M&T Bank Corp		None			Sold	01/12/17	J	B	
41. -Merck & Co Inc New Com	A	Dividend			Sold	01/12/17	J	A	
42. -Oppenheimer Rochester Muni CL C	A	Int./Div.			Sold	01/12/17	K		
43. -Qualcomm Inc		None			Sold	01/12/17	J	C	
44. -Regeneron Pharmaceuticals		None	K	T					
45. -Schlumberger Limited Com	A	Dividend			Sold	01/12/17	J	A	
46. -SPDR Dow Jones Indl Avg ETF TR Unit Ser I	A	Dividend	J	T					
47. -SPDR Ser Tr Dj Wilshire Reit ETF	A	Dividend	J	T	Sold (part)	08/09/17	J	A	
48. -SPDR S&P 500 ETF Trust Unit Ser I	A	Dividend			Sold	08/09/17	J	A	
49. -Vanguard Index Fds Vanguard Small Cap VBK	A	Dividend	J	T					
50. -Vanguard Index Fds Vanguard Small Cap VBR	A	Dividend	J	T					
51. -Vanguard Intl Equity Index Fund Inc FTSE VWO (see Part VIII)	A	Dividend	L	T	Sold (part)	08/09/17	J	B	

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52. -Vanguard Intl Equity Index Fds FTSE PAC VPL (see Part VIII)	B	Dividend	L	T	Sold (part)	08/09/17	J	B	
53. -Vanguard Intl Equity Index Fds VGK f/k/a (see Part VIII)	B	Dividend	J	T	Sold (part)	08/09/17	J	A	
54. -Viacom Inc New Cl B	A	Dividend			Sold	01/12/17	J		
55. U.S. Savings Bonds		None	J	T					
56. Fidelity IRA:									
57. -Fidelity Cash Reserves	A	Int./Div.	K	T					
58. -First Tr Large Cap Value Opportunities	A	Dividend	K	T					
59. -First Trust Portfolios Large Cap Growth	A	Dividend	L	T					
60. -Global X Funds Global X Ftse Greece 20	A	Dividend	J	T					
61. -iShares MSCI Australia ETF	A	Dividend	J	T					
62. -iShares MSCI Brazil ETF	A	Dividend	K	T	Buy (add'l)	01/18/17	K		
63. -iShares Tips Bond ETF	A	Dividend	K	T					
64. -iShares MSCI Emerging Markets ETF	A	Dividend	K	T	Buy (add'l)	01/18/17	J		
65. -iShares Latin America 40 ETF	A	Dividend	L	T	Buy	01/18/17	K		
66. -iShares S&P Mid Cap 400 Growth ETF	A	Dividend	L	T					
67. -iShares S&P Mid Cap 400 Value ETF	B	Dividend	L	T					
68. -iShares US Financials ETF	A	Dividend	K	T					

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69. -iShares iBoxx High Yield Corporate Bond	C	Dividend	L	T					
70. -iShares US Preferred Stock ETF	A	Dividend	J	T					
71. -iShares TR MSCI UK ETF	A	Dividend	J	T	Buy	01/18/17	J		
72. -SPDR Ser Tr Bloomberg BRCLYS F/K/A SPDR Ser Tr Barclays HY	C	Dividend	K	T					
73. -SPDR Ser Tr Db Intl Govt Inflation	A	Dividend	K	T					
74. -SPDR Ser Tr DJ Wilshire Reit ETF	A	Dividend	K	T					
75. -Transamerica Floating Rate CL I	A	Dividend	J	T	Buy	01/13/17	J		
76. -Vanguard Index Fds Vanguard Small Cap Value	B	Dividend	L	T					
77. -Vanguard Index Fds Vanguard Small Cap Growth	A	Dividend	L	T					
78. -Vanguard Index Fds Vanguard Growth	A	Dividend	K	T					
79. -Vanguard Index Fds Vanguard Value Vipers	A	Dividend	J	T					
80. MetLife Computershares - Estate	A	Dividend			Sold	01/06/17	J	A	
81. Solvay Checking Account - Estate		None			Distributed	01/20/17	L		
82. M&T Checking Account - Estate	A	Interest			Distributed	08/25/17	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII Lines 17 and 18 are the same security named -Fidelity Short Term Bond. Additional shares were purchased and subsequent shares were sold in the same year, and per page 53 of the instructions, the two transactions are shown on successive lines.

Part VII Lines 29 and 30 are the same security named iShares Tips Bond ETF. The security's initial purchase and sale took place within in the same year, and per page 53 of the instructions, the two transactions are shown on successive lines.

Part VII Line 51 was known as Vanguard Intl Equity Index Fund FTSE VGK on the 2016 report. To help indentify and distinguish these securities from others, this year's report it is named Vanguard Index Fund Inc FTSE VWO.

Part VII Line 52 was know as Vanguard Intl Equity Index Fds FTSE PAC on the 2016 report. To help indentify and distinguish these securities from others, this year's report it is named Vanguard Intl Equity Index Fds FTSE PAC VPL.

Part VII Line 53 was know as Vanguart Intl Equity Index Fds on the 2016 report. To help indentify and distinguish these securities from others, this year's report it is named Vanguard Intl Index Fds VGK.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544