

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) Arcara, Richard J.	2. Court or Organization U.S. District Court W.D.N.Y.	3. Date of Report 08/13/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 2 Niagara Square Buffalo, New York 14202		
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.		
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.	
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. 2017

AAA Western and Central New York Board Member - Stipend

2. 2017

Gwen Arcara, LLC - self employed executive recruitment for the healthcare industry

3. 2017

Health Now Board Member - Stipend

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. RBC Branch Sweep Program	A	Interest	J	T					
2. RBC Branch Sweep Program (Y)									
3. RBC Branch Sweep Program		None	M	T					
4. RBC Wealth Management Cash (X)	A	Interest	J	T					
5. Alcoa Inc OID Callable 01/15/21	B	Interest	K	T					
6. Allianzgi NFJ Dividend Value (formerly Allianz NFJ Dividend Val Cl. C)	D	Dividend	K	T					
7. Allstate Corporation 6.25% pfd ser F	A	Dividend	J	T					
8. Allstate Corporation 6.75%, pfd stk ser C	A	Dividend	J	T					
9. Ally FINL Inc 8/15/18	A	Dividend			Redeemed	10/16/17	K		
10. Ally Financial Inc 4.15%	B	Interest	K	T					
11. Ally FINL Inc FR 4.15% 081519 Callable 02/15/17	B	Interest	K	T					
12. Annaly Capital Management Inc 6.95 SRS	A	Dividend	K	T	Buy	7/26/17	K		
13. Alternative Loan Trust MTGPC Series	A	Interest	J	T					
14. AT&T Inc 5.350 Global Notes due 2066		None	K	T	Buy	10/26/17	K		
15. Bank of America Corp 6.5% Shs REPSTG	B	Dividend	K	T					
16. Bank of America Corp 6.5% Shs REPSTG	A	Dividend	J	T					
17. Bank of America Corp 6.625% Non Cum Prfd	A	Dividend	J	T					

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 H = \$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 \$5,000,000	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. Bank of America FDG Corp Series 2007-2 Class 1A7	A	Interest	J	T	Sold (part)	12/25/17	J		
19. Bank of American Fund Corp Ser 2007-2 CL TA1B	A	Interest	J	T					
20. Blackrock Enhanced Int'l Div Trust (formerly Black Rock Int'l Growth &	B	Dividend	K	T	Sold (part)	12/20/17	K		
21. BlackRock Global Allocation Fd Inc CL C	A	Dividend	J	T	Sold (part)	11/13/17	J	A	
22. BlackRock Global Allocation Fd Inc CI C	B	Dividend	K	T					
23. Blackrock Multi Sector Income	B	Dividend	K	T					
24. BlackRock NY Muni Income	A	Dividend	J	T					
25. Bristol Myers Squibb Co	A	Dividend	K	T					
26. CHL Mortgage Pass Through 2006-15	A	Interest	J	T					
27. CHL Mortgage Pass Through 2006-J4	A	Interest	J	T					
28. CHL Mortgage Pass Through 2006-16	A	Interest	J	T					
29. CHL Mortgage Pass Through 2007-3	A	Interest	J	T	Sold (part)	12/25/17	J	A	
30. Citigroup Coml Mtg Ser 2008-C7 Class AJ	A	Interest	K	T	Buy	11/14/17	K		
31. Citigroup Commercial Mort Tr MTGPC Ser 2006-C5 A-J Fixed	B	Interest	J	T					
32. Citigroup Inc. 5.8% pfd ser C non cum	B	Dividend	K	T					
33. Citigroup Inc. 6.875% ser K	B	Dividend	K	T					
34. CitiMortgage Alt. Loan Trust Series 2006-A4	A	Interest	J	T	Sold (part)	12/25/17	J		

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35. Citimortgage Alternative Loan Trust Series 2006-A4	A	Interest	J	T					
36. Clearbridge Value Trust Class C		None	K	T					
37. Clearbridge Energy MLP Total Return Fund	B	Dividend	K	T	Buy	11/29/17	J		
38. Cohen & Steers MLP Income & Energy Opportunity FD Inc	B	Dividend	K	T	Buy	11/30/17	J		
39. Computer Task Group Inc		None			Sold	12/20/17	J		
40. Corp Back JCPenney Ser 07-1CL A-1	B	Interest	K	T	Buy	01/09/17	K		
41. Countrywide Capital V 7%	B	Interest	K	T					
42. Countrywide Home LN Class A11	A	Interest	J	T					
43. Doubleline Income Solutions FD	C	Dividend	K	T					
44. Doubleline Income Solutions FD	A	Dividend	J	T					
45. Duke Energy Corporation 5.125% Jr Sub Debentures	B	Interest	K	T					
46. Eaton Vance Fltng RT 2022 Trgt Trm TR	A	Dividend	K	T	Buy	07/27/17	K		
47.					Buy (add'l)	11/30/17	J		
48. Eaton Vance Floating Rate Income Plus Fund	A	Dividend	J	T					
49. Eton Vance Floating Rate Income Plus Fund	B	Dividend	K	T					
50. Eaton Vance Grwth TR Atlanta Cap Select CL A	A	Dividend	K	T	Buy	06/16/17	K		
51. Eaton Vance High Income 2021 Target Term TR Com SH	B	Dividend	K	T					

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52. Eaton Vance Tax-Managed Gbl Diversified Equity Income Fd	C	Dividend	K	T					
53. Eaton Vance Mut FDS TR FLTG Rate Advantage	B	Dividend	K	T					
54. Euro Pac Growth Fund CL C	A	Dividend	K	T					
55. Euro Pacific Growth Fund Cl. A	A	Dividend	K	T					
56. Federal Home Loan Mtg Corp Ser 4604 Cl CD	A	Interest	J	T					
57. Federal Nation Meeting Assn 2013-41	A	Interest	J	T					
58. Federal National MTG Assn Ser 2017-11-CL CA	A	Interest	J	T	Buy	02/27/17	K		
59. Fidelity Adv New Insights CL C	D	Dividend	L	T					
60. Fidelity Adv New Insights Fd Cl A	C	Dividend	K	T					
61. Fidelity Adv New Insights Fd Cl A	A	Dividend	J	T	Sold (part)	11/14/17	J	B	
62. Fidelity Adv New Insights Cl C	A	Dividend	J	T	Buy	2/13/17	J		
63. Fidelity Adv New Insights Fd Cl A	A	Dividend	J	T					
64. First TR MLP & Energy Income Fund	B	Dividend	K	T					
65. First Trust Intermediate Duration Preferred & Income FD		None	J	T					
66. First Trust Intermediate Duration Preferred & Income Fd	B	Dividend	J	T					
67. FHLMC REMIC Series 4588 LZ	A	Interest	J	T	Buy	03/21/17	K		
68. FNMA REMIC Trust 2016-39 CA	A	Interest	K	T	Buy	07/17/17	K		

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69. General Electric Company Com	A	Dividend	K	T	Buy	05/25/17	K		
70. GNMA Ser 2016 REMIC Trust 2016-170A	A	Interest	J	T	Buy	06/22/17	J		
71. Goldman Sachs HY Fund CL A	B	Dividend	K	T					
72. GOV'T Nat'l Mtge Assoc 2012-96 CLYG	A	Interest	J	T	Sold (part)	12/20/17	J	A	
73. Gov't Nat'l Mtg Assn Ser 2012-074 CL MB	A	Interest	K	T					
74. Gov't Nat'l Mtg Assn Ser 2016-160 CL UB	A	Interest	K	T					
75. Gov't Nat'l Mtg Assn Ser 2017-149 CL A	A	Interest	K	T	Buy	10/13/17	K		
76. Gov't Nat'l Mtg Assn Ser 13-06 CL WA	A	Interest			Expired	07/20/17	J		
77. GS MTG Secs Corp Series 2006-2F Class 2A6	A	Interest	J	T					
78. Hotchkis & Wiley FDS Mid Cap Value Fd CI I	A	Dividend	J	T					
79. Hotchkis & Wiley Funds Mid Cap Value FD CL A (formerly Hotchkis CL C)	B	Dividend	K	T					
80. HSBC Holdings PLC 8.125% Pfd	B	Dividend	J	T					
81. Icahn Enterprises LP/Corp SR Gbl NT 22 Callable 02/01/22	B	Interest	K	T					
82. Invesco Value Opportunities Class A (Invesco Value Opp CL C)	A	Dividend	K	T	Buy	12/15/17	J		
83. Invesco Charter Fund CI A	A	Dividend	J	T					
84. Invesco Trust for Investment	A	Dividend	J	T					
85. Ivy Asset Strategy CL C	A	Dividend	J	T					

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86. Ivy Asset Strategy Fd CI A	B	Dividend	K	T					
87. Ivy Asset Strategy Fd CL C	A	Dividend	K	T					
88. Ivy Fds Asset Strategy CI A	B	Dividend	K	T					
89. IVY FDS Inc. Large Cap Growth Fd CI C	A	Dividend	J	T					
90. Janus Invt FD Henderson Multisector Income FD A	A	Dividend	K	T	Buy	10/17/17	K		
91. JC Penney Co SR NTS	A	Interest			Sold	05/17/17	K	A	
92. JP Morgan TrustnSeries 2007-S1	A	Interest	J	T					
93. JPMorgan TR1 US Large Cap CI A (formJP Morgan US Large Cap Core Plus C	C	Dividend	K	T	Buy	11/15/17	J		
94. JP Morgan Chase & Co 6.30% Pfd Ser W	B	Dividend	K	T					
95. KeyCorp	A	Dividend			Redeemed	02/15/17	K		
96. KeyCorp New	A	Dividend	J	T					
97. Kinetics Paradigm Fund Adv CI A (formerly Kinetics Paradigm Fd CL C		None	K	T					
98. Kinetics Paradigm Fund Advisor CI C		None	K	T					
99. KKR & Co LP 6.75% Series A Preferred Units callable 6/15/21	B	Dividend	K	T					
100. Legg Mason Opportunity Trust CI C		None	K	T	Buy	02/02/17	K		
101. Lehman Mortgage Trust Series 2007-10	A	Interest	J	T	Sold (part)	12/25/17	J	A	
102. Locorr Invt TR Spectrum Income FD CL A	A	Dividend	J	T	Buy	09/21/17	J		

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103. Locorr Invtr TR Spectrum Income FD CL A	A	Dividend	K	T	Buy	09/19/17	K		
104. M&T Bank Corp	B	Dividend	M	T					
105. Morgan Stanley Mortgage Loan Tr Series 2006-11 2-A-1 Fixed RT	B	Interest	K	T					
106. National Fuel Gas Co	A	Dividend	K	T					
107. New Perspective Fund Inc Cl. A	A	Dividend	J	T					
108. Nuveen CR Opportunities 2022 TRGT Term FD	B	Dividend	K	T	Buy	03/29/17	K		
109.					Buy (add'l)	11/16/17	J		
110. .Nuveen High Income December 2018 Target Term Fund	B	Dividend	K	T					
111. Nuveen High Income December 2019 target Term Fund	B	Dividend	K	T					
112. .Nuveen High Income 2020 Target Term Fund	B	Dividend	K	T					
113. Nuveen High Income November 2021 Target Term Fund Com Shs	B	Dividend	K	T					
114. Nuveen Credit Strategies Inc Fund	A	Dividend	J	T					
115. PNC FDS Intl Equity Fd CL A	A	Dividend	K	T	Buy	11/30/17	K		
116. Proctor & Gamble	A	Dividend	K	T					
117. Prospect Cap Corp FR 4.75% callable 7/15/18		None	K	T	Buy	12/15/17	K		
118. Prospect Cap Corp FR 5% 011519 Callable	B	Interest	K	T					
119. Prudential Jennison 20/20 Focus Fund Class C	A	Dividend	J	T					

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 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)
120. Prudential Jennison Growth Fund CI A	C	Dividend	L	T					
121. Qwest Corporation 6.5% SR Notes due 2056	B	Interest	K	T					
122. Residential Accredit LNS Inc CL A-5	A	Interest	J	T					
123. Residential Accredit LNS Inc CL I-A-5	A	Interest	J	T					
124. Royce Fd Total Return Fd Consultant	A	Dividend	J	T					
125. Royce Fund - PAMutual Fund Consultant CI	D	Dividend	K	T					
126. Royce Fund - PAMutual Fund Consultant CL	B	Dividend	J	T					
127. Royal Fund - PAMutual Fund Consultant CL	D	Dividend	L	T					
128. SCE Trust I 5.625% Trust Cu, Pref Secs	A	Dividend			Redeemed	07/19/17	K	A	
129. SLM Corp endnotes 4% to 6/6 4.7%	B	Interest			Redeemed	12/15/17	K		
130. SLM Corp Endnotes 4% 12/08, thereafter 6.75% callable 1/21/17	B	Interest	J	T					
131. SLM Corp Med Term Note	A	Interest			Redeemed	06/15/17	J		
132. SLM Corp Ednotes callable 1/21/17	B	Interest	K	T					
133. Southern Company (The) SER 2015A 6.25% JNR Subordntd	B	Int./Div.	K	T					
134. Southern Company (The) SER 2015A 6.25% JNR Subordntd	A	Interest	J	T					
135. Templeton Foreign Fd CI A	A	Dividend	K	T					
136. Thornburg Intl Value Fund CI. A	C	Dividend	K	T					

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 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)
137. Trst for Advised Port Miller Opport TR CL A(formerly Legg Mason Opport		None	K	T					
138. Trst for Advised Port Miller Opport TR CL A(formerly Legg Mason Opport		None	J	T					
139. Trst for Advised Port Miller Opport TR CL C(formerly Legg Mason Opport		None	J	T					
140. Trst for Advised Port Miller Opport TR CL C(formerly Legg Mason Opport		None	J	T					
141. Trst for Advised Port Miller Opport TR CL C(formerly Legg Mason Opport	B	Dividend	K	T					
142. United States Cellular Corp 7.25% Sr. Notes (x)	B	Int./Div.	K	T					
143. Wells Fargo & Company 5.7% Dep Shs Rep 1/1000th Int	B	Dividend	K	T					
144. Wells Fargo & Company 6% Dep Shs REPSTG 1/1000th INT	B	Dividend	K	T					
145. Wells Fargo Mtge Backed 2006-8 A-4	A	Interest	J	T					
146. Wells Fargo Mtge Sec 2006-8 A-5	A	Interest	J	T					
147. Western Asset High Yield Defined Opportunity Fd	B	Dividend	K	T					
148. Western Asset Intermediate Term Class C	A	Dividend			Sold	02/02/17	K	A	

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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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/ Richard J. Arcara**

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