

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) Payson, Marian W.	2. Court or Organization U.S.D.C., W.D.N.Y.	3. Date of Report 06/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge-Fulltime	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 2310 U.S. Courthouse 100 State Street Rochester, New York 14614		
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.	Trustee	The Harley School
2.		
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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

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.			
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. Janus Growth and Income Fund - Mutual Fund	E	Dividend	N	T	Sold (part)	01/17/17	K	A	
2.					Sold (part)	11/28/17	K	C	
3. Vanguard Institutional Index - Mut. Fund (NYS Deferred Comp)	A	Dividend			Sold (part)	01/24/17	K		
4.					Sold	07/07/17	L		
5. Vanguard Federal Money Market Fund	A	Interest	K	T					
6. Blackrock Core Bond Fund - Mutual Fund	B	Dividend	L	T					
7. Blackrock LO Duration BD Inv. A - Mutual Fund	B	Dividend	L	T	Sold (part)	03/24/17	J	A	
8. Templeton Foreign Fund A - Mutual Fund	A	Dividend	L	T	Sold (part)	03/24/17	J	A	
9. Morgan Stanley Money Market Funds	A	Int./Div.	O	T					
10. Summit Federal Credit Union #1	A	Interest	J	T					
11. Summit Federal Credit Union #2	A	Interest	J	T					
12. Vanguard Bond Mkt Index Inv - Mutual Fund	A	Dividend	K	T	Buy (add'l)	12/28/17	J		
13. Vanguard Wellington Fund Inv - Mutual Fund	A	Dividend	K	T	Buy (add'l)	12/28/17	J		
14. Vanguard Small Cap Value Index - Mutual Fund	A	Dividend	K	T	Buy (add'l)	12/28/17	J		
15. Vanguard Total Stock Mkt Index Inv - Mutual Fund #2	A	Dividend	K	T	Buy (add'l)	12/28/17	J		
16. NY College Savings Program Conservative Portfolio		None	K	T	Sold (part)	07/07/17	J	B	
17. NY College Sav. Program Income Portfolio		None	L	T	Sold (part)	07/07/17	J	C	

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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)	F ~\$50,001 - \$100,000 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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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)

18. American Growth Fund of America, A	D	Dividend	M	T	Donated (part)				
19. Wells Fargo High Yld Bd Fund	A	Dividend	K	T					
20. American Cent Growth Adv.	C	Dividend	K	T					
21. Blackrock Equity Dividend A Mutual Fund	E	Dividend	M	T	Sold (part)	01/17/17	K	C	
22. Nuveen Int Dur Muni Bond A Mutual Fund	C	Dividend	M	T					
23. Keeley Small Cap Value A Mutual Fund	A	Dividend			Sold	01/17/17	M	E	
24. Janus Perkins Mid Cap Value Mutual Fund	D	Dividend	L	T					
25. Nuveen Ltd Term Muni Bond Mutual Fund	C	Dividend	M	T					
26. Nuveen NWQ Int'l Value Mutual Fund	D	Dividend	M	T					
27. Vanguard Prime Money Mkt Fund	B	Interest	M	T					
28. Lazard Emerging Mkts Mutual Fund	A	Dividend	K	T	Sold (part)	01/17/17	J	A	
29. NY St Dorm Auth St. Johns Univ Rev Bond	A	Interest			Redeemed	07/03/17	J	A	
30. Deutsche Real Estate Sec Fund	B	Dividend	K	T					
31. Columbia Large Cap Growth Fund A	A	Dividend	J	T					
32. NY College Savings Income Portfolio (Y)									
33. Summit Federal Credit Union #3 (Y)									
34. Trust #1 - Franklin Templeton Mutual Quest Fund (Y)									

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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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				
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35. Vanguard Growth Index Fund (Y)									
36. Federated Cap. Preserv. Fund-held by profit sharing plan	B	Int./Div.	L	T	Buy (add'l)	01/18/17	J		
37. JP Morgan Equity Income R5 Fund -- held by profit sharing plan	D	Int./Div.	N	T	Sold (part)	01/18/17	J		
38.					Distributed (part)	03/27/17	K		
39. Walt Disney Co. Common Stock	A	Dividend	J	T					
40. NY St Dorm Auth Bond Revs Non St Supported Debt Rev. A	B	Interest	K	T					
41. Metropolitan Trans Auth NY Rev Ref D	B	Interest	K	T					
42. Metropolitan Trans Auth NY Rev. E	B	Interest	K	T					
43. Exxon Mobil Corp	A	Dividend	J	T					
44. PPL Corporation	A	Dividend	J	T					
45. Public Service Enterprise GP	A	Dividend	J	T					
46. iShares Core U.S. Aggregate	A	Dividend	J	T					
47. iShares S&P Midcap 400 Index	A	Dividend	K	T					
48. E V Floating Rate I	A	Dividend	K	T					
49. Federated Strat Val Div Inst	C	Dividend	K	T					
50. Goldman Sachs US Eq Dv Prem I	B	Dividend	K	T					
51. Harbor International Inst	B	Dividend	K	T					

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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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	(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)
52. JP Morgan US LG CP PLS SEL	A	Dividend	J	T					
53. Pimco Total Return Inst	A	Dividend	K	T					
54. T Rowe Price Short Term Bd Fd	A	Dividend	J	T					
55. Templeton Global Bd Fd Adv	A	Dividend	J	T					
56. Touchstone Sands Cap Sel Gr Y	C	Dividend	K	T					
57. NYC Muni Wtr Fin Auth Rev - FF Bond	B	Interest	L	T					
58. Madison Cnty NY Cap Resource Bond	A	Interest	K	T					
59. Madison Cnty NY Cap Resource Bond	A	Interest	J	T					
60. NYC Muni Wtr Fin Auth Rev HH Bond	A	Interest	K	T					
61. Wells Fargo Special Mid Cap Value Fund	C	Dividend	L	T					
62. T Rowe Price Real Estate Fund	A	Dividend	J	T					
63. Invesco Prem. U.S. Gov't Mny Portfolio	A	Interest	L	T					
64. NYS Deferred Comp Bd Equity Index U/A (NYS Deferred Comp)	A	Dividend	L	T	Buy	07/07/17	L		
65. Stable Income Fund (NYS Deferred Comp)	A	Dividend	J	T	Buy	01/24/17	K		
66. Vanguard Wellington Adm. (NYS Deferred Comp)	A	Dividend	J	T	Buy	01/24/17	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.)*

(a) The shares I held in the mutual fund identified in Section VII, line 5 of last year's financial disclosure form ("Blackrock LO Duration BD SVC") have been exchanged for a different class of the same fund. Therefore, line 7 of this year's form describes the asset as "Blackrock LO Duration Bond Inv. A."

(b) The shares I held in the mutual fund identified in Section VII, line 21 of last year's financial disclosure form ("American Growth Fund of America, F") have been exchanged for a different class of the same fund. Therefore, line 18 of this year's form describes the asset as "American Growth Fund of America, A."

(c) The mutual fund listed in Section VII, line 61 of last year's financial disclosure form was incorrectly described last year as "NYS Muni"; it has been corrected on line 57 of this year's report to read "NYC Muni."

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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/ Marian W. Payson**

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
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Washington, D.C. 20544