

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) D'Agostino, Mae A.	2. Court or Organization U.S. District Court for the Northern District of New York	3. Date of Report 05/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	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 U.S. District Court James T. Foley U.S. Courthouse 445 Broadway Albany, NY 12207		
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. Adjunct Professor | Albany Law School |
| 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. 05/01/2008 | American International Life Assurance Co., structured settlement for future payments of legal fees earned |
| 2. 09/04/2002 | American General Life Insurance Co., structured settlement for future payments of legal fees earned |
| 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. 2013	Albany Law School	\$3,200.00
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.	College of St. Rose	Tuition	None
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. Vanguard Prime Money Market Account	A	Dividend			Redeemed	03/20/13	J		
2.									
3. Key Bank Account	A	Interest	K	T					
4.									
5. Fidelity Brokerage Account (H)									
6. - Cash	A	Interest	J	T					
7. - Fidelity Cash Reserves	A	Dividend	J	T					
8. - American Beacon Large Cap Investor	A	Dividend	J	T	Buy	10/25/13	J		
9. - Artisan Mid Cap Value	A	Dividend	J	T					
10. - Artisan Intl Value Fund Inv Cl	A	Dividend	J	T					
11. - Spartan 500 Index Fd Adv Cl	A	Dividend	J	T					
12. - Spartan Extended Mkt Index Fid Adv Cl	A	Dividend	J	T					
13. - Fidelity Contrafund	A	Dividend	J	T					
14. - Fidelity Strategic Dividend & Income	A	Dividend	J	T					
15. - Fidelity Low Priced Stock	A	Dividend	J	T					
16. - Fidelity Select Medical Equip & System	A	Dividend	J	T					
17. - Oakmark International Small Cap I	A	Dividend	J	T					

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. - SSgA Emerging Markets	A	Dividend			Sold	03/22/13	J	A	
19. - Fidelity Floating Rate High Income	A	Dividend	J	T	Buy (add'l)	01/31/13	J		
20. - Fidelity High Income	A	Dividend	J	T					
21. - Fidelity GNMA Fund	A	Dividend			Sold (part)	01/31/13	J	A	
22.					Sold	08/29/13	J	A	
23. - Fidelity Strategic Income	A	Dividend	J	T					
24. - PIMCO Global Advt Strategy Bond CL D	A	Dividend			Sold	01/31/13	J	A	
25. - Janus Balanced Fund CI T	A	Dividend			Sold (part)	05/30/13	J	A	
26.					Sold	08/29/13	J	A	
27. - Matthews Asian Growth & Income	A	Dividend	J	T	Buy	03/22/13	J		
28. - Metropolitan West Low Duration M	A	Dividend	J	T	Buy	08/29/13	J		
29. - PIMCO Foreign Bond CL D	A	Dividend	J	T	Buy	08/29/13	J		
30. - Fidelity Real Estate Income	A	Dividend	J	T	Buy	05/30/13	J		
31. - Fidelity New Markets Income	A	Dividend			Buy	01/31/13	J		
32.					Sold	08/29/13	J	A	
33. - Invesco Diversified Dividend	A	Dividend			Buy	05/30/13	J		
34.					Buy (add'l)	08/29/13	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
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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☐ 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.					Sold	10/25/13	J	A	
36. - American Century Equity Inc	A	Dividend			Sold	05/30/13	J	A	
37.									
38. Fidelity IRA (H)	F	Dividend	P1	T					
39. - American Beacon Large Value I					Buy	10/25/13	L		
40. - American Century Equity Inc Inv CL					Sold	05/30/13	L		
41. - Artisan Mid Cap Value									
42. - Artisan Intl Value Fund Inv Cl					Buy (add'l)	01/31/13	J		
43.					Buy (add'l)	08/29/13	J		
44. - Fidelity Contrafund					Buy (add'l)	08/29/13	J		
45. - Fidelity Strategic Dividend & Income					Sold	10/25/13	L		
46. - Fidelity Low Priced Stock					Sold (part)	08/29/13	J		
47. - Fidelity Select Medical Equip & System					Sold	08/29/13	L		
48. - Oakmark International Small Cap I									
49. - SSGA Emerging Markets					Sold	03/22/13	K		
50. - Fidelity Floating Rate High Income					Buy (add'l)	01/31/13	J		
51.					Buy (add'l)	08/29/13	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
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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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52.					Buy (add'l)	11/05/13	J		
53. - Fidelity GNMA Fund					Sold (part)	01/31/13	K		
54.					Sold (part)	05/30/13	J		
55.					Sold	08/29/13	K		
56. - PIMCO Global Advt Strategy Bond CL D					Sold (part)	01/31/13	L		
57.					Sold	02/15/13	J		
58. - Janus Balanced Fund CI T					Sold (part)	05/30/13	K		
59.					Sold	08/29/13	K		
60. - Spartan 500 Index Fd Adv					Buy (add'l)	08/29/13	J		
61. - Spartan Extended Mkt Index Fid Adv CL									
62. - Matthews Asian Growth & Income Fund					Buy	03/22/13	K		
63.					Buy (add'l)	08/29/13	J		
64. - Parnassus Equity Income Portfolio					Buy	10/25/13	L		
65. - Fidelity High Income					Buy (add'l)	03/22/13	J		
66.					Buy (add'l)	08/29/13	J		
67.					Buy (add'l)	11/05/13	J		
68. - Metropolitan West Low Duration M					Buy	08/29/13	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
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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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69. - PIMCO Foreign Bond CL D					Buy	08/29/13	L		
70. - Fidelity Strategic Income					Buy (add'l)	08/29/13	J		
71.					Buy (add'l)	11/05/13	J		
72. - Fidelity Real Estate Income					Buy	05/30/13	K		
73.					Sold (part)	08/29/13	J		
74. - Fidelity Select Health Care					Buy	08/29/13	K		
75. - Fidelity New Markets Income					Buy	01/31/13	L		
76.					Sold	08/29/13	L		
77. - Invesco Diversified Dividend					Buy	05/30/13	K		
78.					Buy (add'l)	08/29/13	J		
79.					Sold	10/25/13	L		
80. - Fidelity Cash Reserves									
81.									
82. Prudential Annuity (Inherited)	E	Interest	K	T	Distributed (part)	12/31/13	K		
83.									
84.									
85.									

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.)*

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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/ Mae A. D'Agostino

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