

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) D'Agostino, Mae A.	2. Court or Organization U.S. District Court for the Northern District of New York	3. Date of Report 05/10/2017
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 01/01/2016 to 12/31/2016
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. 06/10/2008 | American International Life Assurance Co., structured settlement for future payments of legal fees earned |
| 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. 2016	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.)*

<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. New York State Bar	May 13 - May 16, 2016	Cooperstown, NY	Federal/Commercial Section Annual Meeting	Hotel and Meals
2. IP Inns of Court	November 4 - November 6, 2016	Washington, DC	Celebration of Excellence	Transportation, One Night Hotel and Dinner at Supreme Court
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 Account	A	Interest	K	T					
2.									
3. Trustco Bank Accounts	A	Interest	K	T					
4.									
5. Fidelity Brokerage Account (H)									
6. - Cash		None			Redeemed	07/01/16	J		
7. - Fidelity Government Cash Reserves	A	Dividend	J	T					
8. - Artisan Mid Cap Value	A	Dividend	J	T					
9. - Artisan Intl Value Fund Inv Cl	A	Dividend	J	T					
10. - Fidelity 500 Index Prem Cl	A	Dividend	K	T					
11. - Fidelity Extended Mkt Index Prem Cl	A	Dividend	J	T					
12. - Fidelity Contrafund	A	Dividend	J	T					
13. - Fidelity Strategic Dividend & Income	A	Dividend	J	T					
14. - Fidelity Low Priced Stock	A	Dividend	J	T	Sold (part)	08/31/16	J	A	
15. - Fidelity Select Medical Equip & System	A	Dividend	J	T					
16. - Oakmark International Small Cap I	A	Dividend			Sold	01/22/16	J		
17. - Fidelity Floating Rate High Income	A	Dividend	J	T	Sold (part)	01/22/16	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 \$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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☐ 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. - Fidelity Strategic Income	A	Dividend	J	T					
19. - Matthews Asia Dividend Fund		None	J	T	Buy	12/22/16	J		
20. - PIMCO Foreign Bond CL D	A	Dividend	J	T					
21. - Fidelity Real Estate Income	A	Dividend	J	T					
22. - Fidelity GNMA	A	Dividend	J	T	Buy (add'l)	01/22/16	J		
23. - Fidelity Focused High Income	A	Dividend	J	T					
24. - Fidelity Select Health Care	A	Dividend			Sold	04/26/16	J		
25. - Fidelity Select Technology	A	Dividend	J	T					
26. - Fidelity Mid Cap Index Prem Class	A	Dividend	J	T					
27. - FMI International	A	Dividend	J	T					
28. - Matthews India	A	Dividend			Sold	12/22/16	J		
29. - MFS Value Cl A	A	Dividend	J	T	Buy (add'l)	01/22/16	J		
30.					Buy (add'l)	12/22/16	J		
31. - Oppenheimer Intl Sml Mid Co Cl A	A	Dividend	J	T	Buy	01/22/16	J		
32.									
33. Fidelity IRA (H)									
34. - Artisan Intl Value Fund Inv Cl	B	Dividend	K	T	Buy (add'l)	08/31/16	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	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. - Fidelity Contrafund	C	Dividend	L	T	Buy (add'l)	02/18/16	J		
36.					Sold (part)	04/26/16	J		
37.					Sold (part)	08/31/16	K		
38.					Sold (part)	12/20/16	J		
39. - Fidelity Low Priced Stock	C	Dividend	L	T	Sold (part)	08/31/16	K		
40.					Sold (part)	12/20/16	J		
41. - Oakmark International Small Cap I		None			Sold	01/22/16	K		
42. - Fidelity Floating Rate High Income	C	Dividend	L	T	Sold (part)	01/22/16	K		
43.					Sold (part)	08/31/16	J		
44. - Fidelity 500 Index Prem	C	Dividend	M	T	Sold (part)	08/31/16	K		
45.					Buy (add'l)	12/20/16	J		
46. - Fidelity Extended Mkt Index Prem CL	C	Dividend	L	T	Buy (add'l)	04/26/16	J		
47.					Sold (part)	08/31/16	J		
48.					Buy (add'l)	12/20/16	J		
49. - Fidelity Large Cap Value Enhanced Index	A	Dividend			Sold	08/31/16	L		
50. - PIMCO Foreign Bond CL D	A	Dividend	L	T					
51. - Fidelity Strategic Income	C	Dividend	L	T	Buy (add'l)	08/31/16	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	
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52.					Buy (add'l)	12/20/16	J		
53. - Fidelity Real Estate Income	C	Dividend	L	T	Sold (part)	02/18/16	J		
54.					Sold (part)	08/31/16	J		
55.					Buy (add'l)	12/20/16	J		
56. - Fidelity Select Health Care	A	Dividend	K	T	Sold (part)	04/26/16	J		
57.					Sold (part)	08/31/16	J		
58.					Sold (part)	12/20/16	J		
59. - American Beacon Bridgeway Large Cap Value Investor	A	Dividend	L	T	Buy	01/22/16	J		
60.					Buy (add'l)	08/31/16	J		
61.					Buy (add'l)	12/20/16	J		
62. - Fidelity Capital & Income	C	Dividend	L	T	Sold (part)	08/31/16	J		
63. - Fidelity GNMA	B	Dividend	L	T	Buy (add'l)	01/22/16	K		
64.					Sold (part)	08/31/16	J		
65.					Sold (part)	12/20/16	K		
66. - Fidelity Mid Cap Index Premium Cl	B	Dividend	L	T	Buy (add'l)	08/31/16	J		
67. - FMI International	B	Dividend	K	T	Buy (add'l)	04/26/16	J		
68. - Janus Global Technology T	B	Dividend	K	T	Buy (add'l)	01/22/16	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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69.					Buy (add'l)	08/31/16	J		
70. - Matthews Asia Dividend Inv			K	T	Buy	12/20/16	K		
71. - Matthews India	A	Dividend			Sold	12/20/16	K		
72. - Fidelity Government Cash Reserves	A	Dividend	K	T					
73. - Oppenheimer Intl Sml Mid Company Cl A	A	Dividend	K	T	Buy	01/22/16	K		
74. - MFS Value A	C	Dividend	L	T	Buy	08/31/16	L		
75. - Pax Small Cap Indv Inv	A	Dividend	K	T	Buy	08/31/16	K		
76.									
77. Prudential Fixed-Rate Annuity (Inherited)	A	Interest			Distributed	12/31/16	J		
78.									
79.									
80.									

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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